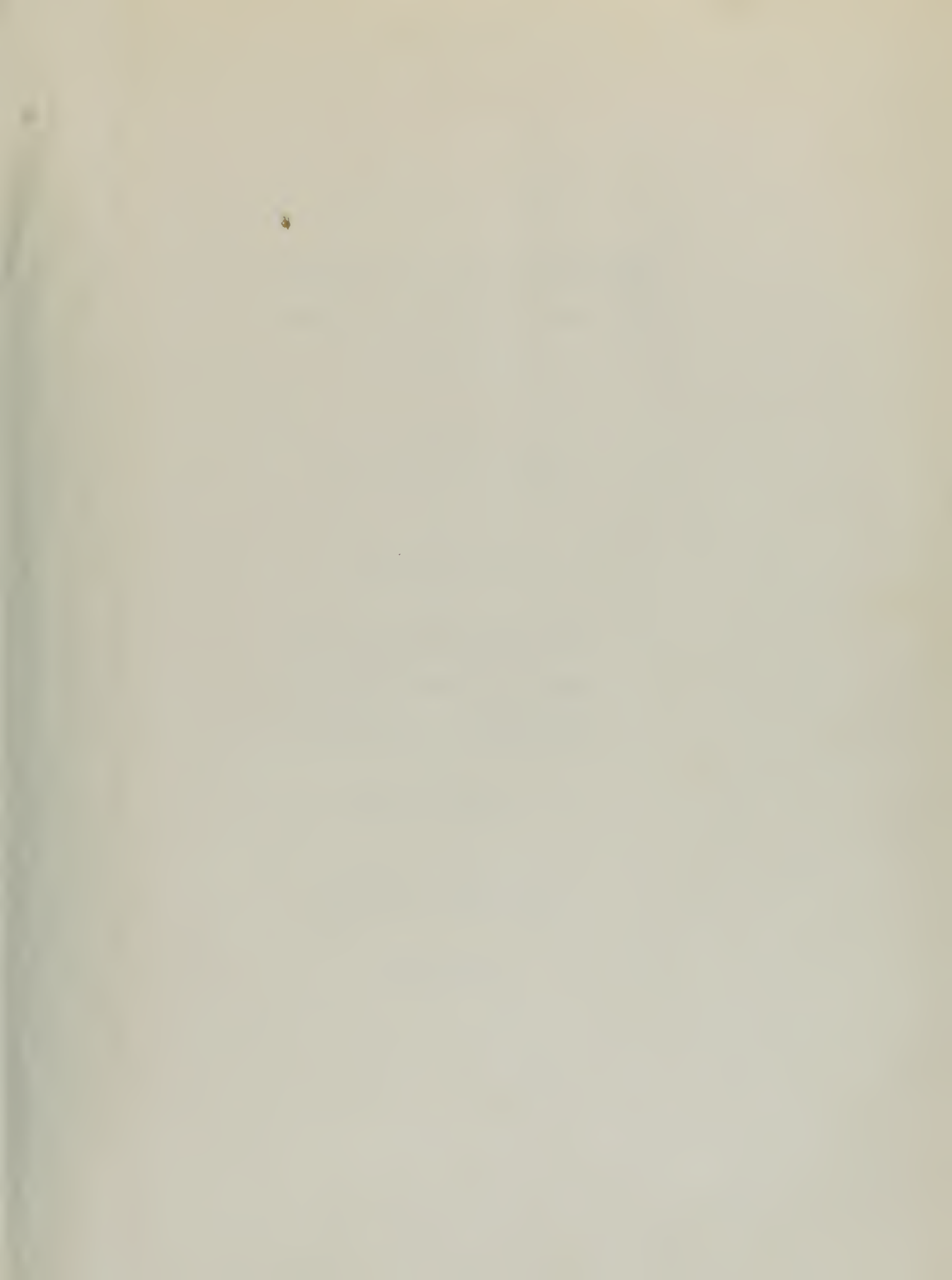


Hermen Jennings Stansell, Jr.

AN APPRAISAL OF EXECUTIVE DEVELOPMENT
TRAINING AS APPLICABLE TO
NAVAL FIELD ACTIVITIES.

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AN APPRAISAL OF EXECUTIVE DEVELOPMENT
TRAINING AS APPLICABLE TO NAVAL FIELD
ACTIVITIES

A Thesis

Submitted to the Faculty

of

Purdue University

by

Herman Jennings Stansell, Jr.

In Partial Fulfillment of the

Requirements for the Degree

of

Master of Science

in

Industrial Engineering

May, 1964

ACKNOWLEDGMENTS

For the cooperation, assistance, and time spent in conference on the various phases of the Navy Department Executive Development Program, special thanks and sincere gratitude are due Mr. T. V. Powers, Head, Personnel Branch, Executive Office of the Secretary of the Navy; Mr. R. V. Colbert, Training Division Director, Office of Industrial Relations, Navy Department; Mr. Edward Dawson, Associate Management Engineer, Office of the Management Engineer, Navy Department; Mr. R. L. Stockman, Director of Civilian Training, Navy Department, Bureau of Ordnance; Mr. J. A. Waln, Assistant Director of Civilian Training, Navy Department, Bureau of Ordnance.

For the time spent in conference and for the assistance given in contacting the various Navy Department executives concerned with executive development training, deep appreciation is extended to Captain L. A. Peterson, Commanding Officer, U. S. Naval Ordnance Plant, Indianapolis, Indiana; Commander D. A. Marks, Executive Officer, U. S. Naval Ordnance Plant, Indianapolis, Indiana; and Mr. M. K. Coleman, Head of the Industrial Relations Department, U. S. Naval Ordnance Plant, Indianapolis, Indiana.

To Professor Ralph E. Balyeat, Department of Industrial Engineering, Purdue University, special gratitude is expressed for his counsel, aid, and encouragement.

Finally, to my wife, Marion, whose love, encouragement, and untiring assistance during the assimilation of the material and preparation of the manuscript greatly reduced the clerical effort, my special thanks and boundless love.

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ABSTRACT

The objective of this study was to make an appraisal of the Executive Development Training program of the Navy Department for the purpose of establishing criteria and recommendations for the use of naval ordnance field activities in establishing executive development training programs. The criteria upon which the appraisal was based included the programs and procedures recognized as outstanding in the executive development training field, current publications on the subject, and conferences with executives active in the field of executive training.

The majority of the material upon which the investigation was based was obtained through conferences with various executives currently working in the Navy Department program. Study of training directives, program descriptions, training files, and conferences with Training Directors, resulted in a thorough coverage of the Navy Department program. The procedures observed and the information obtained were then compared with the generally accepted practices indicated by a survey of the literature devoted to such training in business and industry.

The results of this study are considered worthwhile. In terms of the criteria used in the appraisal, it is concluded that the Navy Department has a strong, highly flexible, individualized program that is well integrated into regular departmental operations. Top civilian management support has contributed materially to the program success. However, the program has two fundamental weaknesses which would seriously detract from its effectiveness in any application to ordnance field activities. These weaknesses are: (1) Too little organization planning,

and (2) the program is not integrated with an executive inventory and placement plan.

For ordnance field activities, many of the practices of the Navy Department program could be employed to some extent providing they are adjusted to the needs of the activity. To offset the weaknesses of the Navy Department program, the following recommendations are offered:

1. Base the program on effective long-range organization planning.
2. Appoint an executive development committee charged with the development of guiding principles and specific procedures necessary to the success of the program.
3. The Executive Development Committee membership should include:
 - a. The Commanding Officer
 - b. The heads of the various divisions
 - c. The branch head of the "branch in question" in individual cases.
 - d. The Industrial Relations Director as a staff representative.
4. Write a complete job description for each position in the organization detailing the exact responsibility, authority, and relationship with others. Standard Form 75, Job Description, is usually not adequate.
5. Make an inventory of personnel in executive positions to determine present and future requirements.
6. Prepare an appraisal report on each executive and prospective executive, outlining performance, potential, training needs

and course of action.

7. Develop procedures that will insure that:
 - a. No one is overlooked.
 - b. Individual progress is periodically reviewed.
 - c. The development plan fits the individuals requirements.

To the best of the writer's knowledge, this is the first appraisal of executive development training in the Navy Department by one not involved in the administration of that program.

AN APPRAISAL OF EXECUTIVE DEVELOPMENT TRAINING
AS APPLICABLE TO NAVAL FIELD ACTIVITIES

INTRODUCTION

This study was prompted by the desire of the Commanding Officer, U. S. Naval Ordnance Plant, Indianapolis, Indiana, to establish an executive development training program which would satisfy the needs of that plant. However, preliminary investigations at the Ordnance Plant disclosed that very little preparatory work had been done with regard to the determination of the need for executive training. In addition, it was found that plant policy on executive training was not clearly defined, and that effective procedures for the systematic appraisal of executive performance and potential were not established.

Further investigation at the Bureau of Ordnance, Navy Department, disclosed that, with one possible exception, the Naval Ordnance Laboratory, White Oaks, Maryland, no other ordnance field activity had an operating executive development program. The training program at the Naval Ordnance Laboratory is largely a professional development rather than an executive development program, therefore it was not included in this study.

In view of the above, it was decided that the interests of the Ordnance Plant at Indianapolis, as well as those of other ordnance field activities, could possibly best be served by an appraisal of executive training as it exists in the Navy Department in Washington.

Inasmuch as the literature available on executive development in the Navy Department is extremely limited, the writer, in order to obtain

reliable first-hand information, held numerous conferences with various top-level executives who are concerned with executive training at the departmental level. The information obtained in these conferences has, in many instances, not heretofore been published. In addition, to the best of the writer's knowledge, no previous appraisal of executive development training in the departmental service has been made by one not involved in the departmental training program.

A survey of the literature devoted to executive training practices in business and industry was made to determine the most widely accepted techniques and procedures in current use by recognized authorities in the field. It was found that the details of the numerous well-organized programs varied markedly; however, the principles involved were remarkably compatible in almost every case. These principles were applied in the appraisal of the Navy Department program.

This study, then, had the following objectives: (1) to determine current executive development training practices in business and industry, (2) to determine and appraise the current practices and procedures in the Navy Department, and (3) based on the above, to develop criteria to assist in establishing executive training in ordnance field activities.

EXECUTIVE DEVELOPMENT IN BUSINESS AND INDUSTRY

Factors Influencing the Growth of "Programs"

A number of trends and conditions have contributed to the rapid growth of executive development programs in recent years. Not all companies have been affected to the same degree or in the same manner; however, "there is clear evidence that American business management is becoming more and more concerned with the problems of executive manpower development This trend is significant because it reflects a growing concern with the necessity for providing a more orderly and dependable source of supply for qualified executive manpower"¹. What are some of the factors influencing this trend?

1. The effect of the depression years on the progression of men in industry resulting from industrial contraction and reduced opportunity.
2. The wholesale removal of younger men from industry necessitated by World War II manpower requirements.
3. The realization that the decline of the national birth rate during the depression years will cause serious shortages of manpower in the late 1950's.
4. High executive turnover - considered by many to be one of the most important single points underlying the need for the development of training programs.
5. Interest in the long-term survival of established firms².

-
1. Worthy, James C, "Planned Executive Development: The Experience of Sears, Roebuck and Co." AMA Personnel Series No. 137.
 2. Riegel, John W., Executive Development, Ch.2, University of Michigan Press, 1952.

4

6. Existing economic and political problems such as³:

- a. Rate of expansion.
- b. Technological advancement.
- c. Increased government regulation.
- d. Decentralization of operations and control.
- e. Diversification of products and services.
- f. Growth of unionism.

Objectives

The literature reveals the significant fact that companies vary widely in their individual statements of training objectives. Some of these are: to keep executives alert, to attract and hold men of executive calibre, to improve morale, to provide a proving ground for future executives, to make good men better, and to increase the effectiveness of the executive family as an operating team. However, most programs have at least two objectives in common. They are⁴:

1. The preparation of men to perform more effectively in their present capacity.
2. The provision of a pool of qualified men to fill executive positions or to assume greater responsibility as needed.

The Standard Oil Company of California established its formal company-wide program in 1946 and is considered by many to be one of the best systematic training programs. Mr. H. L. Samuelson, Manager of Executive Development for that company, defined the primary objectives as:

3. California Inst. of Tech. Industrial Relations Bull. No. 23, page 4.

4. Ibid. 3, page 1

- "1. To provide adequate reserves of qualified and seasoned candidates to fill executive, supervisory, and key staff positions as needs occur throughout the company and its subsidiaries.
- "2. To assure promising individuals opportunity to develop and utilize their capabilities, to the mutual advantage of individual and company.
- "3. As replacements occur, to assure that key positions are filled by individuals fully qualified to meet all requirements.
- "4. To develop and foster among management full appreciation of the obligation as to selection, training, appraisal, placement, and utilization of key personnel on a company-wide rather than a purely departmental basis."

These objectives are perhaps as complete and accurate as one could devise.

Organization Planning

Many companies came face to face with the need for a systematic, continuous executive development program as one result of a careful study of the organizational structure of their respective firms. Indeed, it is generally agreed that organization planning is a "must" as the first element of an executive development program. Managers must recognize its future as well as its present executive needs. "Each organization has to be tailored to suit the needs of the company in question."⁵

The basic principles of organization are well known and will not

5. Ibid 3, page 6.

be repeated here; however, effective planning must take into account these principles. Many companies, after studying their organization, became painfully aware of such shortcomings as responsibility without authority, too many individuals reporting to one senior, too many levels of supervision, overlapping of responsibilities and divided authority.

Organization planning must consider, among other things, the "compatibility of the responsibilities and tasks assigned to any position, the balancing of the work loads in the several positions, the matching of authority with responsibility, and the teaming up of specialized individuals and groups in joint efforts upon complex problems." "The organization structure can always be under scrutiny with a view to its improvement."⁶

When the structure of the organization is reasonably well defined, the responsibilities assigned to various individuals are apparent and a basis for appraising incumbent performance is available.

Initiation of the Program

The first and most obvious conclusion one reaches after study of the existing programs is that no two are identical in the detailed procedures employed in establishing them. The best programs in existence at the present time have been evolutionary in nature, not reform movements. They have started with attention directed to replacement requirements at the "top" of the management pyramid, then have been extended to cover the lesser positions down through the organization. The programs which seem to have met with the greatest success were those in

6. Ibid. 2, page 34.

which too broad a scope was not taken at first, but rather in which company management sought success with each step and slowly expanded the program.

The Westinghouse Electric Corporation, in initiating its program, appointed a Policy Committee responsible for establishing a sound "Development Program". This committee appointed a company-wide Director of Management Development and a Management Development Advisory Committee, members of which were directly under their respective counterparts on the Policy Committee. The Director and Advisory Committee then conducted an investigation into current practices of other companies, reviewed the objectives established by the Policy Committee, and made recommendations to originate a program in one division of the company as a trial operation. This procedure enabled the Corporation's management personnel to keep an appraising eye on every phase of the program as it progressed, noting shortcomings, observing the reactions of the participants, and correcting mistakes as they occurred.

Experience in business and industry has shown that the success of any program of executive development depends on several factors. First, and of utmost importance, is that the chief executive must be convinced of the necessity and importance of the program, and must convey his conviction to his subordinates. The chief executive must convey his conviction to subordinates by personally devoting time to the program.

Secondly, since the selection and development of subordinates is a primary responsibility of every executive, it is important that the program be developed cooperatively with the key senior executives of the firm. This leads to better understanding of the program and helps to

make it work.

Thirdly, "it is important that some member of management who understands the need for executive development be responsible for seeing that it is carried out. To insure an overall objective viewpoint, this individual should report directly to the chief executive."⁷

The Executive Development Committee. Many companies have established special committees at the very highest level to insure that the principles outlined above are carried out. These committees are known variously as "Placement and Review Committee", "Management Training Committee", "Development Panel", to mention a few. They differ in composition from firm to firm, but a good composite might be:

1. The chief executive as chairman.
2. The operating heads of the various divisions of a company.
3. Additional personnel from the "division in question" when handling specific cases.
4. Some staff representative, often the Industrial Relations Director, serving in a secretarial capacity and as an advisor.

Among the various writers in the field one can find numerous concepts of the functions of Executive Development Committees; however, the following appear to be rather widely recognized:

1. To develop principles and specific procedures essential to the success of the program.

7. "The Development of Executive Talent," American Management Association, 1952, page 37.

2. To develop appropriate forms for the administration of the program.
3. To review the performance and records of executive personnel.
4. To determine training needs.
5. To select candidates for training.
6. To approve techniques of training and development to be employed.
7. To be responsible for review and follow-up functions.
8. To continuously appraise the program to ensure that the companies' needs are being adequately met.

These general functions of the "Committee" are self-explanatory and no further comment seems necessary or desirable. However, the material that follows describes some of the details of the committee activity with special emphasis upon forms, selection of personnel, training processes and procedures, and follow-up.

Forms Essential to the Program

At least a minimum of records are necessary to the success of any program. This is particularly true of personnel programs of any kind. Facts about the participants must be readily available. These may include: What is his job? How is his job being done? What are his personal traits and habits? Does he participate in community activities? etc. In addition, a systematic and precise method must be available to determine training needs, replacement needs and individual performance or rating in his job. To accomplish these purposes the following forms are often used:

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8. Ibid. 3, page 13.



1. Job Descriptions
2. Personal Record or Qualifications Sheet
3. Merit or Performance Reviews
4. Gap Sheets
5. Replacement Schedules or Charts
6. Organization Charts

Job Descriptions. Many firms have found that the "old" types of job descriptions, the check-list form, are too brief and lacking in elements required in job synthesis and organization planning. As a result, in order to meet the requirements of organization planning and manpower analysis, many firms have developed "job descriptions" which not only outline the responsibilities and authority of the position, but include a statement of the function of the position and its relationships with other functions. Such job descriptions naturally follow from an exhaustive and detailed study of company organization. In some cases managements have developed detailed "Management Guides" in which all positions are charted and described. The Standard Oil Company of California has in daily use an outstanding example of such a guide. Fig. 1 is the hypothetical job description for the position of Manager of the Personnel Department.

Personal Record. Another of the basic records essential to the proper administration of the Executive Development Program is the Personal Record. The form and content of personal records varies from company to company; however, much of the required information is available in most companies. "The principal problem is to assemble materials



MANAGEMENT GUIDE

MANAGER, PERSONNEL DEPARTMENT

I. FUNCTION

As a staff member of management, the Manager of the Personnel Department is charged with advising the President and furnishing functional guidance to the heads of the organizational components of the Company by developing and applying sound plans and practices for personnel administration and industrial relations, and with conducting such activities for the staff departments.

II. RESPONSIBILITIES AND AUTHORITY

Within the limits of his approved program and corporate policies and control procedures, the Manager of the Personnel Department is responsible for, and has commensurate authority to accomplish, the fulfillment of the duties set forth below. He may delegate to members of his Department appropriate portions of his responsibilities together with proportionate authority for their fulfillment, but he may not delegate or relinquish his over-all responsibility for results nor any portion of his accountability.

A. Activities

1. He will formulate, or receive and recommend for approval, proposals for policies on personnel administration and industrial relations, will administer such policies when approved, and will conduct such activities for the staff departments.
2. He will establish procedures for personnel administration and industrial relations, and will establish and administer procedures for the initiation and maintenance of personnel records.
3. He will negotiate, but not sign, agreements with employee groups and labor unions, and their representatives, affecting staff department employees or employees of both the Marketing and Manufacturing Divisions, and will advise and assist in the negotiation of such agreements affecting employees of only one division, as requested.
4. He will establish and conduct a Company personnel office for the administration of personnel and industrial relations matters, and will maintain therein personnel records of members of management and home office employees.
5. He will participate in the selection of personnel for management positions and will conduct the initial interview of applicants for such positions and for employment in the home office.
6. He will prepare, guide, and co-ordinate the personnel rating and personnel development programs, and will formulate, or receive and recommend for approval, proposals for action based thereon.
7. He will guide and co-ordinate the safety program and safety standards and practices, and will disseminate applicable safety laws and orders.
8. He will guide and co-ordinate employee benefit plans and programs, and will conduct activities pertaining thereto for the personnel of the staff departments.

B. Organization of His Department

1. He will recommend changes in the basic structure and complement of his Department.

C. Personnel of His Department

1. Having ascertained the availability of qualified talent from within the Company, he will hire personnel for, or appoint employees to, positions other than in management within the limits of his approved basic organization.
2. He will approve salary changes for personnel not subject to the provisions of the Fair Labor Standards Act who receive not over \$350 per month, and will recommend salary changes for such personnel receiving in excess of that amount.
3. He will approve wage changes for personnel subject to the provisions of the Fair Labor Standards Act.

Fig. 1. Job Description. Courtesy of the Standard Oil Company of California.



4. He will recommend promotion, demotion, and release of personnel not subject to the provisions of the Fair Labor Standards Act.
5. He will approve promotion, demotion, and release of personnel subject to the provisions of the Fair Labor Standards Act.
6. He will approve vacations and personal leaves, except his own.
7. He will prepare necessary job and position descriptions.

D. Finances of His Department

1. He will prepare the annual budget.
2. He will administer funds allotted under the approved annual budget, or any approved extraordinary or capital expenditure program, or any appropriation.
3. He will approve payment from allotted funds of operating expenses and capital expenditures not in excess of \$1,000, which are not covered by the approved budget, any approved expenditure program, or an appropriation.
4. He will recommend extraordinary or capital expenditure programs and appropriations.
5. He will administer fiscal procedures.
6. He will receive for review and recommendation the items of the annual budgets of other staff departments and the field divisions coming within his province.

III. RELATIONSHIPS

The Manager of the Personnel Department will observe and conduct the following relationships. He may delegate portions of the conduct of such relationships to members of his Department, but may not delegate his over-all responsibility or accountability for their proper conduct.

A. The President

1. He is accountable to the President for the fulfillment of his function, responsibilities and authority, and relationships, and for their proper interpretation.
2. He will relieve the President of administrative detail as outlined in this Guide or as specified by the President.

B. Other Department Managers

1. He will advise and assist other Department Managers in the fulfillment of their respective functions in matters within his province and will co-ordinate his activities and co-operate with them in matters of mutual concern, but in so doing he will not assume, nor will he be delegated, any function, responsibility, authority or relationship belonging to any other member of management.

C. General Managers of Divisions

1. He will advise and assist the General Managers of the Divisions in the fulfillment of their respective functions in matters within his province and will co-ordinate his activities and co-operate with them in matters of mutual concern, but in so doing he will not assume, nor will he be delegated, any function, responsibility, authority or relationship belonging to any other member of management.

D. Others

1. In the conduct of these relationships, he will establish and maintain those contacts necessary to the fulfillment of his function.
2. The President may specify, from time to time, other relationships to be conducted by him.

E. The Public

1. He will conduct such relationships outside the Company as are necessary to the accomplishment of his function, acting in such cases only as the representative of the President.



which are already available but scattered."⁹ According to one authority¹⁰ this record should give a case history of the individual, including description of the person, formal education, pre-company work experience, company experience, and outside activities. "The meat of the record for purposes of the Executive Development Program is the detailing of experience in the one place."¹¹ The importance of the centralization of personal information is readily apparent when one notes that "past performance is regarded by many companies as the best basis for forecasting the capacity of key men to undertake greater responsibilities".¹²

Performance Review. This form is essentially a means of cataloging the appraisal of the individual's performance in his job. Once again the literature reveals a wide variety of documents used in recording performance appraisals. Typically, the "review" form reflects the appraisal methods employed by the individual company. Some firms, Westinghouse Electric Corporation, for example, use a two-part appraisal form in which the individual's performance is detailed according to considerations of Results, Methods, and Personal Adaptability. The second part, Evaluation of Potential, is designed to enable management to obtain a picture of present resources in management personnel, to provide specific knowledge of the present state of readiness for greater

9. "Recognition of Individuals", Annual Report, 1952-1953 of the Ind. Rel. Sect., California Inst. of Tech.

10. H. L. Samuelson, Manager of Executive Development, Standard Oil of California.

11. Ibid 7, page 369

12. Ibid 2, page 75.



responsibility, and to indicate Management Development steps to be taken. Figure 2 illustrates this essential record.

Other companies, the W. L. Maxson Corporation, for example, use a single-sheet two-page form for a narrative description of performance, personal characteristics and potential. In addition, space has been provided on the reverse side of this form to indicate action to be taken with regard to the appraised individual, and an indication of his current status.

These are but two examples of the many forms used, but it should be pointed out that forms developed by one company are seldom satisfactory when adopted without modification by another.

Gap Sheets. A few companies have developed so-called "Gap" sheets which have the purpose of showing in an orderly fashion the areas in which, and the degree to which, the qualifications of the man differ from the requirements of the job. The International Petroleum Company (Peru) developed such a form which is "a simplified job specification on which are listed the special requirements of each successively higher position to be checked against the qualifications of the person under review."¹³ A record is provided, thereby, of the differences between the educational and vocational requirements obtained from the job description and the educational and vocational qualifications of the reviewee. It does not appear to the writer that this particular device has gained very widespread use. The same information is available in records previously described.

13. Ibid. 7, page 315.



Westinghouse

Personnel Appraisal
for
MANAGEMENT DEVELOPMENT

PART I—PERFORMANCE

LAST	FIRST	INITIAL		
NAME			DEPT. & LOCATION	
POSITION TITLE			AGE	YEARS OF COMPANY SERVICE
DATE ASSIGNED TO POSITION			APPRAISAL PERIOD - FROM MONTH & YEAR TO MONTH & YEAR	

Fig. 2. A set of forms employed in the appraisal of performance and potential, sheet 1.
Courtesy of Westinghouse Electric Corporation.



PART I—PERFORMANCE

When reviewing the performance of an individual, be sure to evaluate this in terms of RESPONSIBILITIES as outlined in the POSITION DESCRIPTION for his position. Place an 'X' in the degree block that applies to each of the PERFORMANCE FACTORS under the headings, RESULTS, METHODS, AND PERSONAL ADAPTABILITY below. The leading questions under each factor are not to be checked individually.

RESULTS - How well has this individual accomplished his assigned responsibilities since his last appraisal?

	UN-SATIS-FACTORY	BELOW NORMAL	NORMALLY EXPECTED	ABOVE NORMAL	OUT-STANDING
QUANTITY OF WORK How completely are his assigned responsibilities carried out? How do accomplishments compare with normal expectancy? How are assignments completed with respect to time?					
QUALITY OF WORK To what extent are accomplishments free of frequent or costly errors? What is the quality of results when compared with normal standards? To what extent is quality maintained under all conditions?					
CONTROL OF COSTS AND EXPENSES How capable is he in budget planning and expense control? What is his ability to operate at minimum costs without sacrificing results? How conscientious is he with regard to cost and expense reduction?					

METHODS - How does this person go about getting his job done? How does he work with and through people?

	UN-SATIS-FACTORY	BELOW NORMAL	NORMALLY EXPECTED	ABOVE NORMAL	OUT-STANDING
PLANNING AND ORGANIZING How effectively is his personnel organized to discharge their duties? How well does he anticipate and prepare for changing conditions? Is he constantly improving his methods and procedures?					
GETTING ALONG WITH OTHERS How tactful and diplomatic is he in dealing with others? How does he cooperate with associates in his own and other departments? How well does he promote free communication between himself and others?					
DELEGATING RESPONSIBILITIES How well does he evaluate the ability of others in making assignments? To what extent does he give his men warranted responsibility? To what degree does he develop initiative in others?					
DEVELOPMENT OF PERSONNEL What is his ability to recognize and develop the capabilities of others? How well does he offer constructive criticism and recognize good work? How well do others learn from him?					

PERSONAL ADAPTABILITY - What are the personal attributes of this individual? To what degree are they shown in his performance and to what extent do they help him fit into his assignment?

	UN-SATIS-FACTORY	BELOW NORMAL	NORMALLY EXPECTED	ABOVE NORMAL	OUT-STANDING
KNOWLEDGE OF JOB How complete is his knowledge of the work of his own and related departments? How adequate is his knowledge of company policies affecting his responsibility? How well does he keep abreast of developments in his field?					
LEADERSHIP How well does he inspire teamwork and direct his group toward a desired goal? How clearly and understandably does he express himself to an individual or group? How fairly and impartially does he treat his men?					
INITIATIVE To what extent does he originate plans and follow through? How promptly does he make decisions? To what extent does he act on his own responsibility?					
DEPENDABILITY How reliably does he fulfill the responsibilities of his position? How willingly does he accept additional responsibilities? Does he speak and act for the good of the organization?					
ANALYTICAL ABILITY How well does he get all necessary facts when considering a problem? How well does he evaluate and interpret the facts bearing on a problem? What is his ability to separate facts from opinions?					
VISION What is his ability to think creatively? To what extent is he mentally alert and conscious of new situations? How well does he look ahead and formulate new ideas?					

Fig. 2 (continued). A set of forms employed in the appraisal of performance and potential, sheet 2.



PART I—PERFORMANCE (continued)

From the analysis of Performance Factors on the preceding page, describe in detail in 1 and 2 below, the reasons influencing the conclusions reached: (Note - Sufficient information should be included to help prepare the immediate supervisor for an effective discussion of performance with the individual.)

1. Give examples or describe areas in which performance is above normal. _____

2. Give examples or indicate areas where performance could be improved. _____

SUMMARY OF PRESENT PERFORMANCE

OUTSTANDING <input type="checkbox"/> 1	VERY HIGH - CLOSE TO OUTSTANDING <input type="checkbox"/> 2	ABOVE NORMAL <input type="checkbox"/> 3	NORMALLY EXPECTED PERFORMANCE <input type="checkbox"/> 4	BELOW NORMAL <input type="checkbox"/> 5	VERY LOW - MARGINAL <input type="checkbox"/> 6	UN- SATISFACTORY <input type="checkbox"/> 7
LIMITED APPRAISAL - NEW ON THE JOB <input type="checkbox"/> (CHECK BOTH HERE AND ABOVE WHERE APPLICABLE)						

GENERAL

1. Is he well suited to the type of work he is now doing? Yes ☐ No ☐ If not, what do you recommend? _____

2. What course of action do you recommend to improve his performance? _____

3. Has there been any marked change in performance since his last appraisal? Explain briefly _____

APPRAISAL MADE BY:

NAME _____ TITLE _____

NAME _____ TITLE _____

NAME _____ TITLE _____

Fig. 2 (continued). A set of forms employed in the appraisal of performance and potential, sheet 3.



Discussion of Appraisal with Individual

Informal discussion of Performance between the individual and his immediate supervisor is essential and is intended to promote and maintain good morale by establishing mutual understanding. Performance, stressing responsibilities stated in his Position Description, should be discussed thoroughly in a private friendly conference in order to:

- Give the individual recognition of his outstanding accomplishments.
- Let him know exactly where he stands.
- Show him where it is felt he can improve himself.
- Explain why it is to his advantage to undertake this improvement.

In further discussion, draw from him the information called for in the following questions and enter answers in the appropriate spaces:

(a) What does he hope to achieve within the company?

(b) What does he believe to be his outstanding abilities?

(c) What is he doing to improve himself both personally and in relation to his present position?

(d) What help, advice or participation does he desire from the company with respect to his training and development?

(e) What was the reaction of the individual to the discussion of his Performance?

DISCUSSED WITH INDIVIDUAL BY:

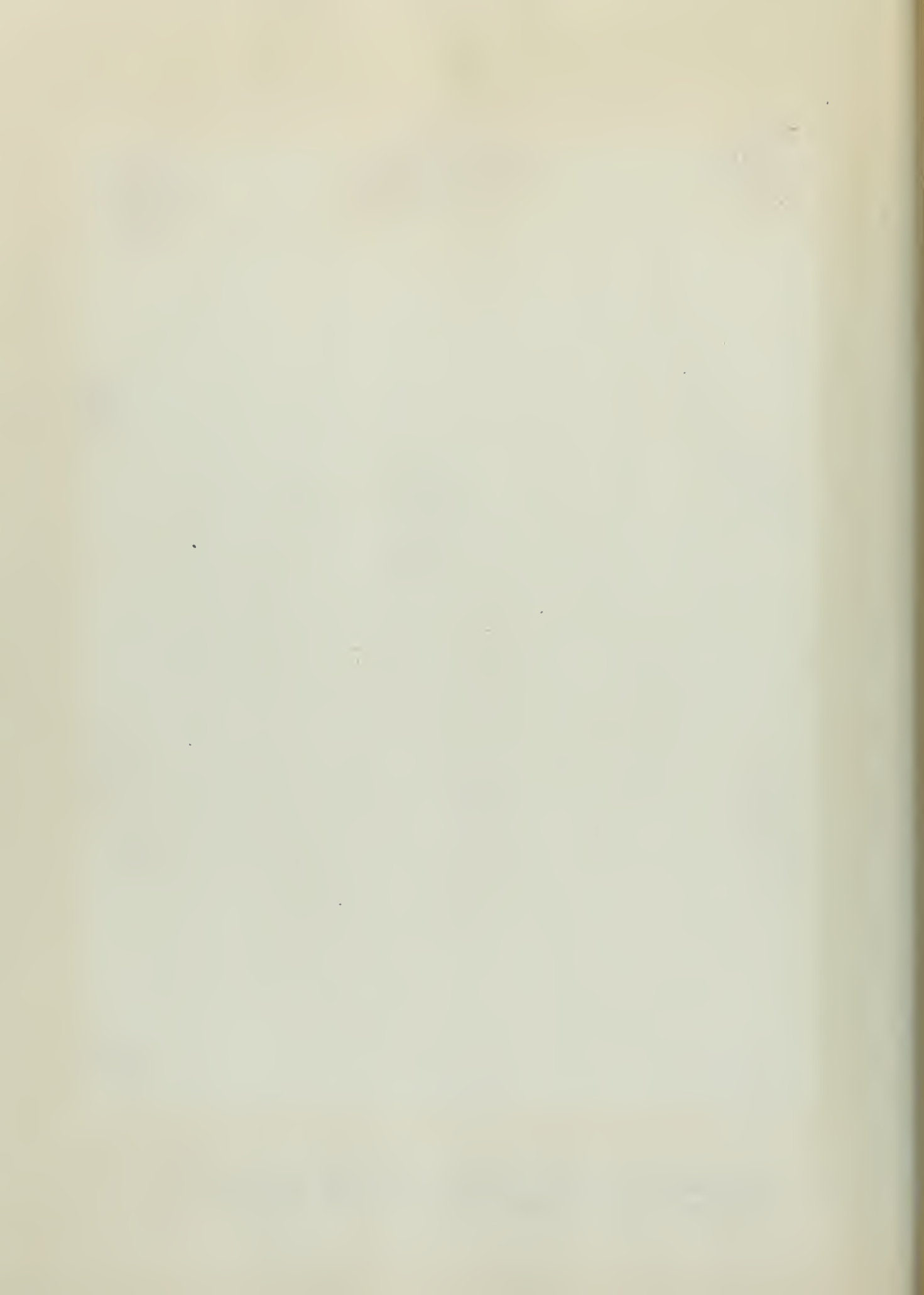
NAME

IMMEDIATE SUPERVISOR

TITLE

DATE

Fig. 2 (continued). A set of forms employed in the appraisal of performance and potential, sheet 4.



Westinghouse

Personnel Appraisal

for

MANAGEMENT DEVELOPMENT

PART 10-EVALUATION OF POTENTIAL

(CONFIDENTIAL - This is for internal use only and should not be distributed outside the organization)

Name

Date

Employee ID

Supervisor's Name

This appraisal is a part of the Management Development Program. It is designed to evaluate the potential of the employee for advancement. The results of this appraisal will be used to determine the employee's potential for advancement and to provide feedback to the employee.

Background

Education

High School
College
University

Work Experience

Supervisor's Rating
Supervisor's Comments
Ability to Lead Others
Potential

QUALITY FOR ADVANCEMENT

<p>Has the employee demonstrated the ability to lead others?</p> <p>Has the employee demonstrated the ability to manage resources and utilization of personnel?</p> <p>Has the employee demonstrated the ability to manage the organization's financial resources?</p>	<p>Has the employee demonstrated the ability to lead others? <input type="checkbox"/></p> <p>Has the employee demonstrated the ability to manage resources and utilization of personnel? <input type="checkbox"/></p> <p>Has the employee demonstrated the ability to manage the organization's financial resources? <input type="checkbox"/></p>
--	---

This appraisal is for internal use only and should not be distributed outside the organization.

For Advancement Consideration For:

1. General use by management

2. Specific use by management

For Advancement Consideration For: The results of this appraisal will be used to determine the employee's potential for advancement and to provide feedback to the employee.

Fig. 2 (continued). A set of forms employed in the appraisal of performance and potential, sheet 5.



PART II—EVALUATION OF POTENTIAL (continued)

- III. If this individual has potentiality for advancement, but needs supplementary development, what experience and training would you suggest as being most beneficial in readying him for promotion?

- IV. Are there any other conditions of a business or personal nature which might limit his flexibility for advancement or relocation? Explain:

EVALUATION MADE BY

NAME _____	TITLE _____
NAME _____	TITLE _____
NAME _____	TITLE _____

APPROVED BY

NAME _____	TITLE _____	DATE _____
SUPERIOR TO COMMITTEE CHAIRMAN		

Fig. 2 (continued). A set of forms employed in the appraisal of performance and potential, sheet 6.



Replacement Tables or Schedules. The purpose of the Replacement Table is to show in an orderly manner: (1) the relative performance and potentiality of incumbents in various executive positions and, (2) the degree to which certain personnel in levels subordinate to the executives are ready for advancement or ready for further development prior to advancement. The Replacement Table (or chart) is "a working list, as contrasted to a final selection, of the best prospects for leadership within a unit or within the Division as a whole....."¹⁴

Replacement schedules usually take one of two forms, modified organization charts coded to show the desired information, or tables listing by position titles the present incumbent and two or more replacements for that position.¹⁵

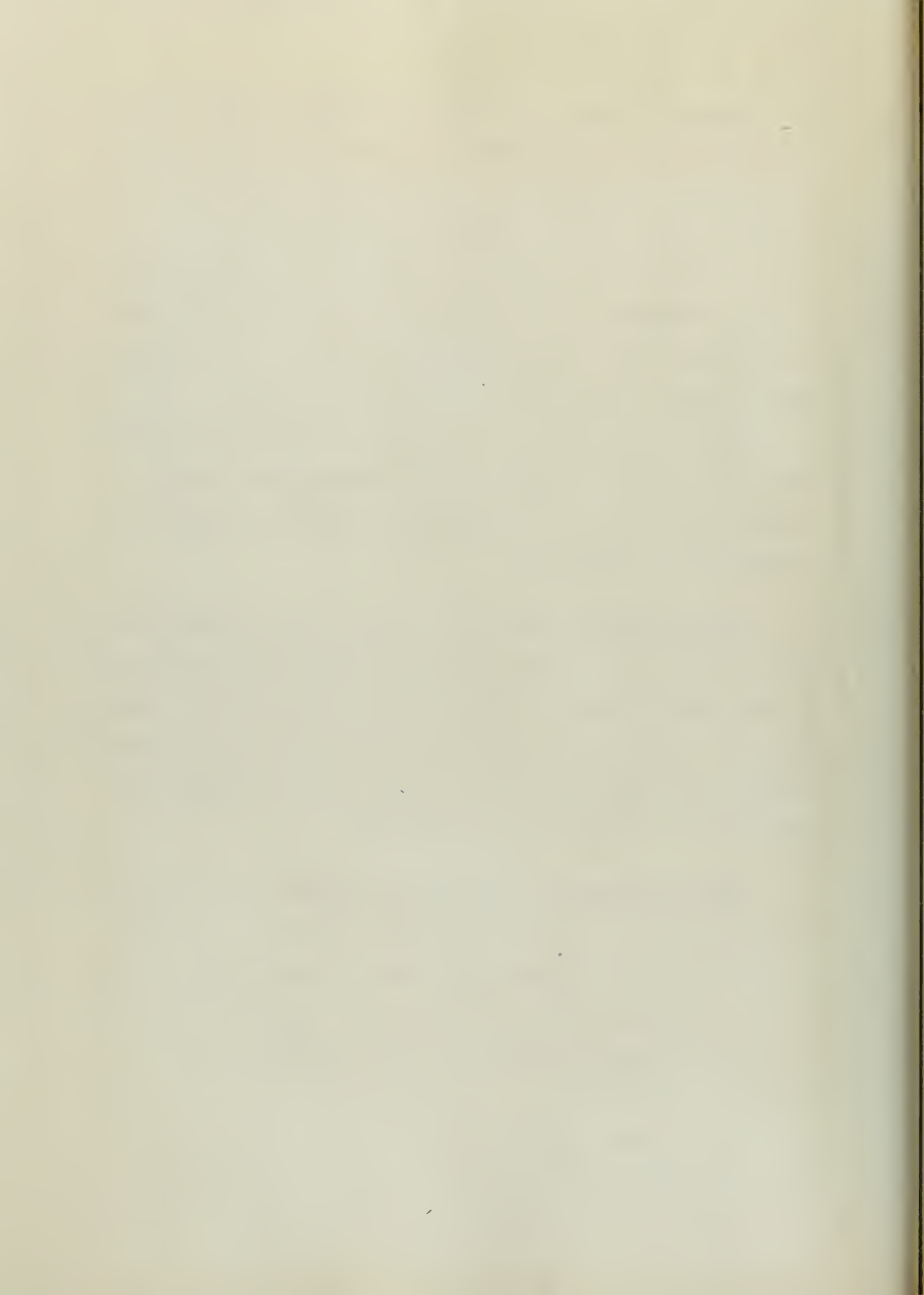
Follow-up Sheets. This form, in its usual use, provides "a documentary control on the progress of the executive 'trainees' in training."¹⁶ It often contains reference to such things as suggestions and guidance given to the individual; his reaction to the program; a summary account of the person's performance during the period being considered; and suggestions for the next period of development.

Organization Charts. The organization charts show graphically the lines and focal points of responsibility which exist by virtue of the way in which the affairs of the company have been arranged. They are an invaluable tool when studying the firm's structure initially for the purpose of determining training needs or requirements.

14. Ibid. 7, page 350.

15. Ibid. 2, pages 130-131.

16. Ibid. 3, page 20.



The Appraisal of Performance and Potential

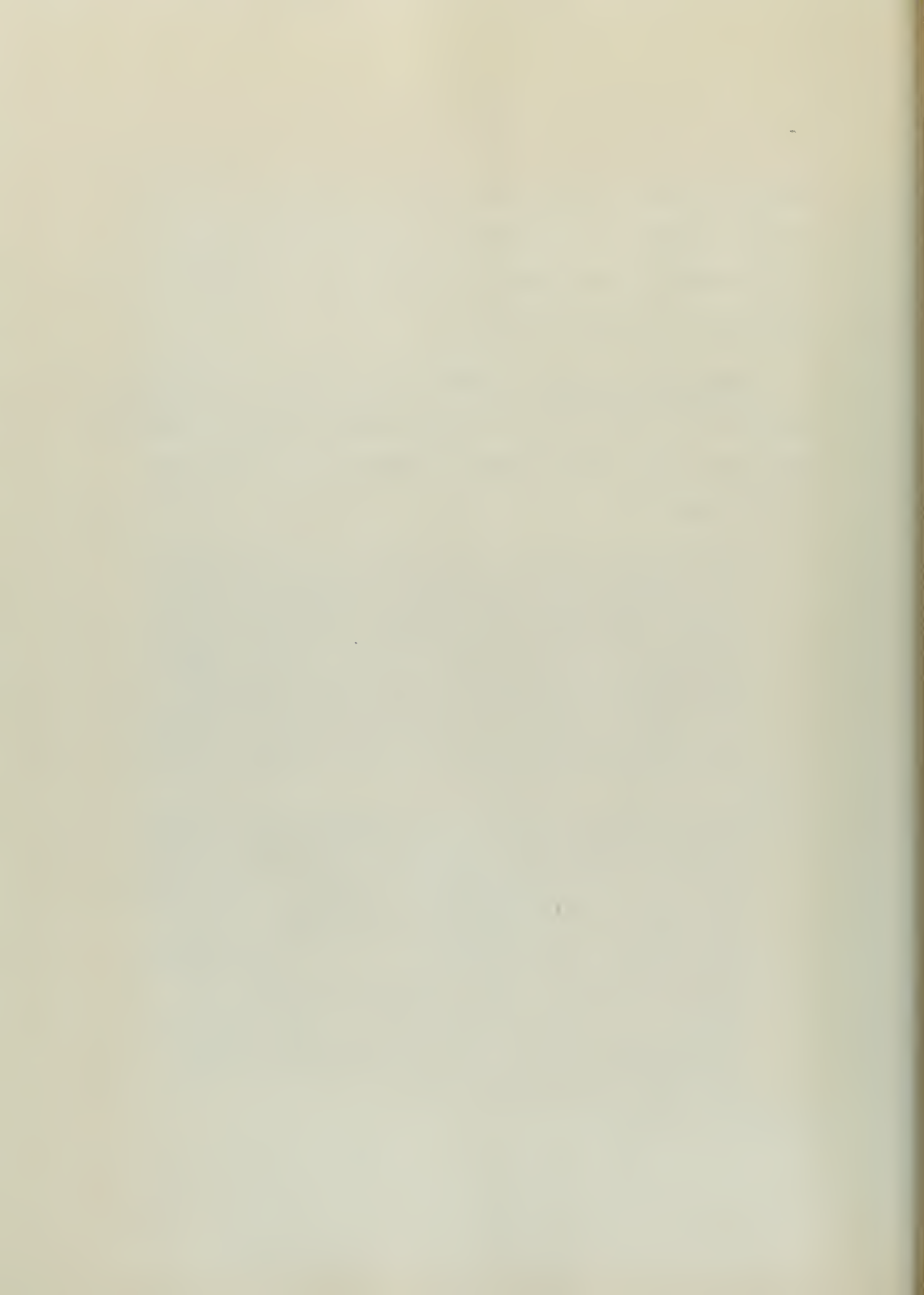
After the information has been compiled from organization charts, job descriptions of the executive positions, and personal information for each incumbent, it is generally agreed that adequate appraisal of the performance and the capacity or potential of each individual is the next necessary and logical step.

Performance Appraisal. Professor John W. Riegel, University of Michigan, in his survey of fifty leading American companies found that there are at least three distinctly different plans of appraisal.

Briefly, these are:

1. The first plan, which depends upon spontaneous discussion by a committee and the emergence of unanimous opinion on at least some aspects of performance, appears to the writer to be useful for specialized positions which have a few major responsibilities, and particularly if experience and research have yielded standards of performance..... The unplanned review appears to the author [Riegel] to be less appropriate in an appraisal of the performance of a man who has many unique responsibilities this plan does not stimulate the reviewers to define or outline their standards of judgment....
2. The next plan of review requires systematic consideration of how well the individual has performed certain specified managerial activities. This leads the appraisers to contrast the accomplishments and procedures of the individuals who engage in those activities. This should be done with due regard to the conditions and requirements of their jobs. Of course, the judgments are made with the over-all achievement of the ratee in mind. The method does seem to have appeal because the judges can compare one man's achievement with the analogous achievements of others..... Under this method there is some danger of assuming that a ratee performs a given type of activity equally well under each of his major responsibilities. This may not be the case

17. Ibid. 9, page 15.



A more serious criticism of this plan is that the aspects of managerial work selected for review are those in some common positions, not those which are characteristic of the particular assignment under review.....

3. The third plan, that of requiring the judges to consider the ratee's performance under each of his own responsibilities appears to be superior in logic. Under it, however, there should be a standard of performance for each major responsibility delegated to each job or group of identical jobs. The defining of these standards is the major difficulty with the third plan.

The plan has been used in judging the performance of individuals whose responsibilities are numerous. Since the plan requires a fairly comprehensive review of each man's performance of his own responsibilities, it appears to be especially appropriate for reviews of the achievements of higher executives and technical specialists, who as individuals typically have a number of unique responsibilities.

In any discussion of appraisal methods or techniques the question naturally arises, "How frequently should reviews or appraisals be made?" The study made by the Management Engineer, Department of the Navy¹⁸, of fifty-three companies states that "industry is close to unanimity of thought with regard to the need for periodic evaluation of the individual management executive". In addition, this same study reported that "there was general agreement that annual rating was probably the most practical, though some companies formally rate at six-month intervals and a few rate on a biennial basis".

Potential appraisal. Estimates of potential or capacity are forecasts of probable success in a position on the basis of achievement and behavior in a subordinate position. It appears that most companies

18. "Personnel Administration at the Executive Level", U. S. Naval Institute, 1948, page 21.



desire forecasts of this type to be made, because they wish to note the numbers and locations in their organizations of the persons who have noteworthy potential and who can be regarded as reserves to fill vacancies at the higher levels.

The surveys conducted by Riegel, by the American Management Association, and the National Industrial Conference Board all indicate that the majority of the companies interviewed prefer group appraisal as the primary technique of determining "potential". The Navy study, referred to previously, also concluded that "multiple rating and group judgment supplant the subjectivity inevitable in a single, man-to-man rating".¹⁹

Some companies, notably Sears, Roebuck and Co., and United Parcel Service, have conducted studies of psychological testing as an aid in determining executive capacity or potential. James C. Worthy, central personnel staff of Sears, Roebuck and Co., has reported²⁰ that "in a multi-unit organization such as Sears, tests can perform a highly useful function in providing a reasonably objective (or at least an additional) yardstick in reaching personnel decisions". The psychological test report can frequently suggest possible areas of weakness or strength in the individual which might not otherwise be discovered, or might become apparent too late. With regard to the use of tests, Mr. Worthy makes the following comments:

19. Ibid. 18, page 23.

20. "Practical Methods of Management Development," AMA Personnel Series, No. 137, page 16.



The tests are used with full awareness of their fallibility. The test report is merely one element among a variety of factors which are considered. The general rule guiding the use of test findings is that no finding is to be accepted as valid unless confirmed by other evidence independent of the tests themselves. There can be no substitute for good judgment as the basis for any personnel decision.

The Sears, Roebuck and Company psychological tests are referred to as "Standard Executive Battery", and consist of the American Council of Education Psychological Examination [mental abilities]; the Guilford-Martin Inventory of Factors STDCR, Inventory of Factors GAMIN, and Personnel Inventory I [temperament]; the Allport-Vernon Study of Values [motivation]; and the Kuder Preference Record, Form BB [interests]. This test battery was administered to several hundred established executives after which the Sears staff meticulously compared the test data with known characteristics. By the end of 1950, according to Mr. Worthy,

The standard executive battery had been administered to approximately 10,000 people. With the experience gained and the constant opportunity to check their reports against actual results, the testing staff has gradually developed a keen ability to interpret test data in terms of concrete attitudes and behavior.²¹

Business and industry have been cautious in the use of psychological testing procedures. One obstacle that appears to offer difficulty, real or imagined, is in establishing suitable criteria for validating tests for the higher level executive personnel. It is widely recognized that "it is of utmost importance in any testing program to use only tests that have themselves been tested, or to make provision for testing the tests before finally accepting them as valid".²²

21. Ibid. 20, page 17.

22. Joseph Tiffin, "Industrial Psychology", 3rd ed., 1952, page 64.



One criteria that might be used in this connection is the rate or speed of advancement in the firm.²³ Much work remains to be done in the area of test validation before reasonably accurate results can be expected.

The Personnel Audit

Determining Needs. With the completion of the performance appraisal the firm is ready to conduct the inventory of its personnel. A number of decisions must be made by the Executive Development Committee, among these are the answers to such questions as: Where are replacements most likely to be required in the near future? How many executives are scheduled for retirement? Of those executives available for promotion to fill anticipated vacancies, how many need further training and what kind of training? What is the anticipated effect of resignations on the number of executives available for the assumption of higher responsibilities? Are any changes desirable in the existing organization chart or in the job content as a result of anticipated personnel changes? Obviously, all of the above decisions including the final selection of personnel for any given position are line functions. One authority has said that "because of its effect on the future growth and development of a company, the program of executive development is essentially the responsibility of the chief executive."²⁴ As has been indicated in a previous section, however, the Executive Development Committee is usually the body that operates the plan.

23. Ibid. 22, page 63.

24. Ibid. 9, page 16.

Typical Procedure. In practice, one procedure which seemed to be satisfactory in several companies²⁵ can be outlined as follows:

1. The committee reviews the pertinent records of each of the key executives to be studied. These records include: the Personal Record; Performance Appraisal; Potential Appraisal; and any other information available.
2. A coded organization chart is prepared by reporting senior executives showing the name, age, and level of performance of each key employee subordinate to him. In addition, a replacement table showing the reservists for each key position by name is submitted to the committee.
3. The reporting executive reviews for the committee the possibilities of resignations and retirements and the availability of replacements. He refers to the replacement list and to the current levels of performance and the promise of the individuals named on it. This gives the committee members an idea of the strength and readiness of the reservists.
4. Statements of training plans or programs proposed for the key people being studied are submitted for review and comment by the committee. Such training plans are based on the needs of the individual obtained from a review of his job description and his performance appraisal.
5. The Executive Development Committee then notes whether the reservists who are listed for particular positions are sufficient in number and suitable in potential, and whether their training

25. Ibid. 2, Ch. VII.

programs are well designed and timed.

6. Approval is given of the program or it is modified as the committee deems necessary to comply with the organization policies and other over-riding directives.

The coded organization chart referred to above is an indispensable aid to proper committee action. Figure 3 illustrates the principle of such a chart. It gives at a glance the names of individuals in each key position together with an indication of their promotability and present performance.

The replacement table is "drawn up after the performance reviews and the appraisals of potential have been completed".²⁶ It shows the names of the individuals who are considered qualified to replace the present incumbent in the various key positions. Figure 4 represents the format of such a table.

Comments on Procedure. In a recent survey conducted by Modern Industry it was found that management consultants and educational leaders agreed that very few companies did an adequate job of determining their needs. In the report of this survey²⁷ it was stated that the following question was asked:

How do you rate management's ability to determine what it needs in executive manpower, to select candidates for training, to follow up its training?

Among the replies reported was that of Professor Ralph Davis, Ohio State University, who said:

26. Ibid. 2, page 138.

27. "Survey of Executive Development Across the Nation," Modern Industry, Feb. 15, 1953, page 64.

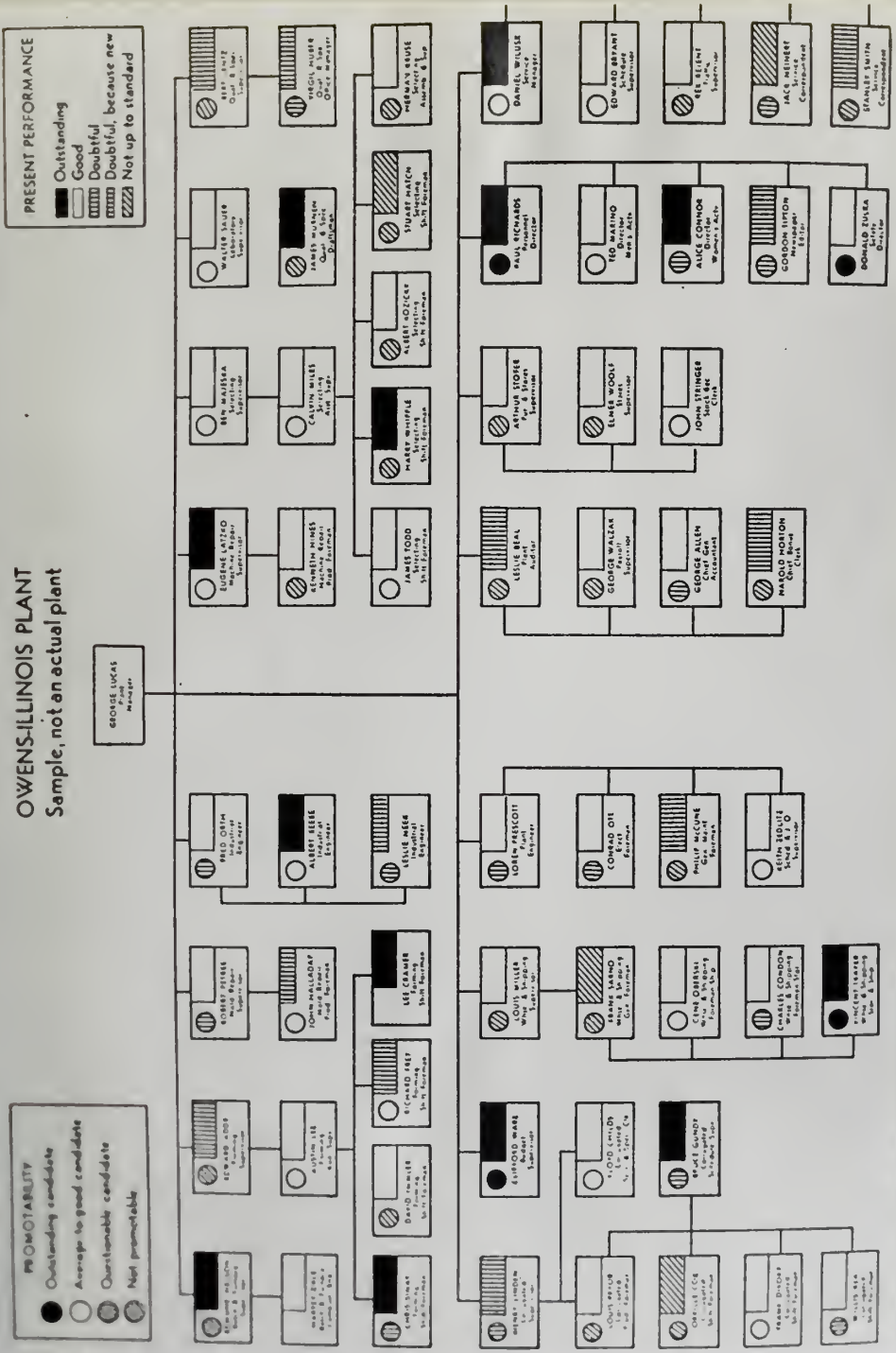


EXHIBIT 16. CODED ORGANIZATION CHARTS.

Fig. 3

A Coded Organization Chart
Taken from Executive Development, John W. Riegel, Univ. of Mich. Press, 1952.



Replacement Table
MANAGEMENT DEVELOPMENT
 Washington Form 2-700

CONFIDENTIAL

POSITION TITLE	POSITION INCUMBENT	AGE	CO. SERV.	PERFORM. RANK	PO. TENTIAL	REPLACEMENT #1	LOCATION REF.	AGE	CO. SERV.	PERFORM. RANK	PO. TENTIAL	REPLACEMENT #2	LOCATION REF.	AGE	CO. SERV.	PERFORM. RANK	PO. TENTIAL	
6																		
DIVISION OR DISTRICT AND LOCATION												DEPARTMENT		APPROVED BY		DATE		PAGE

Fig. 4

A replacement table
 Taken from Executive Development, John W. Riegel, Univ. of Mich. Press, 1952



Determining needs in manpower is primarily a problem in administrative planning. It is done poorly in most concerns. Perhaps this is so because management regards it as no problem, or else as one for the personnel staff.

To the same question, Professor Joseph Tiffin, Purdue University, replied:

Only a very few companies with which I am familiar have systematically analyzed future needs for executive manpower; still fewer have developed a valid method of selecting candidates for training, and the programs that have been instituted have often been organized too hastily.

It appears that while many companies have a good organization in being to conduct training for their executive personnel, very few have yet gotten to the real problem, that of systematically determining the future needs of the company. As has been indicated in previous sections of this study, most companies have available the essential information required for determining their requirements, however, full use of that information is not widespread.

Training and Development

General. The literature in the field of training and development indicates that business and industry is almost unanimously of the opinion that executive training must be accomplished along the lines of an individual case approach. Packaged training courses become less valuable and individual development becomes more essential as one progresses up through the management hierarchy. Stockford²⁸ has given two reasons in support of such a premise:

28. Ibid. 3, page 35.



1. The wide differences between persons in heredity and experiential backgrounds, and
2. The fact that ultimate placement and performance of the individual is dependent, for the most part, upon his total personality.

The appraisal of the individual's performance in his present job and the critical appraisal of his potential for future assignments dictated by the "needs" of the company are the foundation of the training and development program.

Selection. The proper selection of executive personnel for training, of course, is obvious. "Selecting the right trainee is critical to the success of the entire program."²⁹ It is a matter of primary importance, since the promotion of an untested man who later fails can be quite costly. "While he occupies the higher position, his own shortcomings are reflected manifold in the substandard production of his subordinates."³⁰

The literature reveals that no two companies use the same selection methods. Some, such as Sears, use a combination of subjective group judgment and certain psychological test batteries. Others use subjective group judgment alone, basing the selection on analysis of the individual. The latter companies are in the large majority. Indeed, "the final selection of the trainee is usually made by a committee of top company officers."³¹ Consultants are sometimes used.

29. "Company Programs of Executive Development," National Industrial Conference Board, Inc. Studies in Pers. Pol. No. 107, page 10.

30. Ibid. 2, page 142.

31. Ibid. 29, page 10



The Training Process. Regardless of the manner in which

final selection is made, there appears to be certain basic reference points in the development of executive personnel. Once again, Stockford has outlined them as follows:

1. Provision should be made for sufficient development but not "over-development" of the individual.
2. Development should be on the basis of several men for each position and each man for several positions.
3. It is best to avoid any final decisions as to who will get any specific promotion until the appropriate time.
4. The basic concept of management development is contrary to "specialism"; as men rise in an organization, their training and experience should become broader and broader.
5. Job rotation should begin in the lower levels of management so that a man can gain experience for future use.
6. Development should begin as early as possible in the "life" of the individual.
7. A man should be observed closely in new environments to determine whether he is effective generally or only effective among friends and acquaintances.
8. It is essential to plan for rotation between "line" and "staff" positions.
9. Periodic academic training is of importance as one rises in the hierarchy of management.
10. The less the professional development of an individual, the more he is forced into "consultative" management.

Plan Making with the Individual. It is widely recognized that consultation with the prospective trainee, in any training situation, is essential. A receptive attitude is of paramount importance if training is to be successful. One of the first objectives is to get each trainee to realize his need for self development along well-chosen lines. An interview in which the trainee and his superior review his performance



can indicate needed improvements in his knowledge, skills, or behavior.

Professor Riegel, in his survey³², found that "interviews typically are arranged at annual intervals", and that "they are person-centered". In many companies the trainee is asked and encouraged to participate in the development of his program because it is generally felt that the trainees' "own desire and feeling of need is the main-spring of such effort".³³

Training Procedures. It appears that very few, if any, companies go about training their executives in the same way. However, the survey conducted by the national Industrial Conference Board indicated general agreement in one area of training.

"Training practices used at other levels in the organization are of only limited value at the top. While some purposes can be accomplished through direct instruction and by group meetings, the scope of executive development is so broad that new approaches must be found to supplement the more traditional ones."

Training procedure should include, according to most writers, an appraisal of the various techniques to be employed, plan making with the individual, and the selection of courses of action to meet individual needs.

Among the techniques employed in business and industry in the development of their executives are:

1. Job rotation
2. Individual Coaching
3. Counseling
4. Special reading assignments

32. Ibid. 2, page 174

33. Ibid. 2, page 174

- 5. Special study courses
- 6. Conferences
- 7. Seminars and institutes
- 8. Committees
- 9. Junior Boards of Directors.

A more comprehensive list of techniques used is given in Figure 5.

The following material is taken from a multitude of sources in the literature, and represents what seems to be the best thinking on the various development techniques.

1. Job Rotation

The technique is extensively used throughout business and industry.³⁴ The trainee may be assigned to new duties in a position at the same or a higher level than his present assignment. In some companies the trainee may make intercompany moves, when that is feasible. He may remain on the new job for several months or for a year or longer. In addition, he may perform largely as an observer, or he may take full responsibility after some period of coaching. In the companies using this particular technique, "the trainee is usually on each job a full year". This is no "Cook's Tour" arrangement.

Other companies accomplish the same purposes, but probably less effectively, by making trainee assignments through sick leave replacement, assignment of the individual on a temporary basis to other functions, or rotational assignments on a "tour" basis where an individual will spend several days to a few weeks in each major division of the company

34. Ibid. 29, page 14.



TWENTY TECHNIQUES OF EXECUTIVE DEVELOPMENT

Almost always used:

1. Merit or performance reviews
2. Visits to other companies.
3. Attendance at technical meetings and management conferences
4. Distribution of reading lists and management bulletins
5. Group meetings

Often used:

6. Job rotation
7. Advanced management courses at Harvard and elsewhere
8. Committee assignments
9. Consultants
10. Executive inventories
11. Job descriptions

Sometimes used:

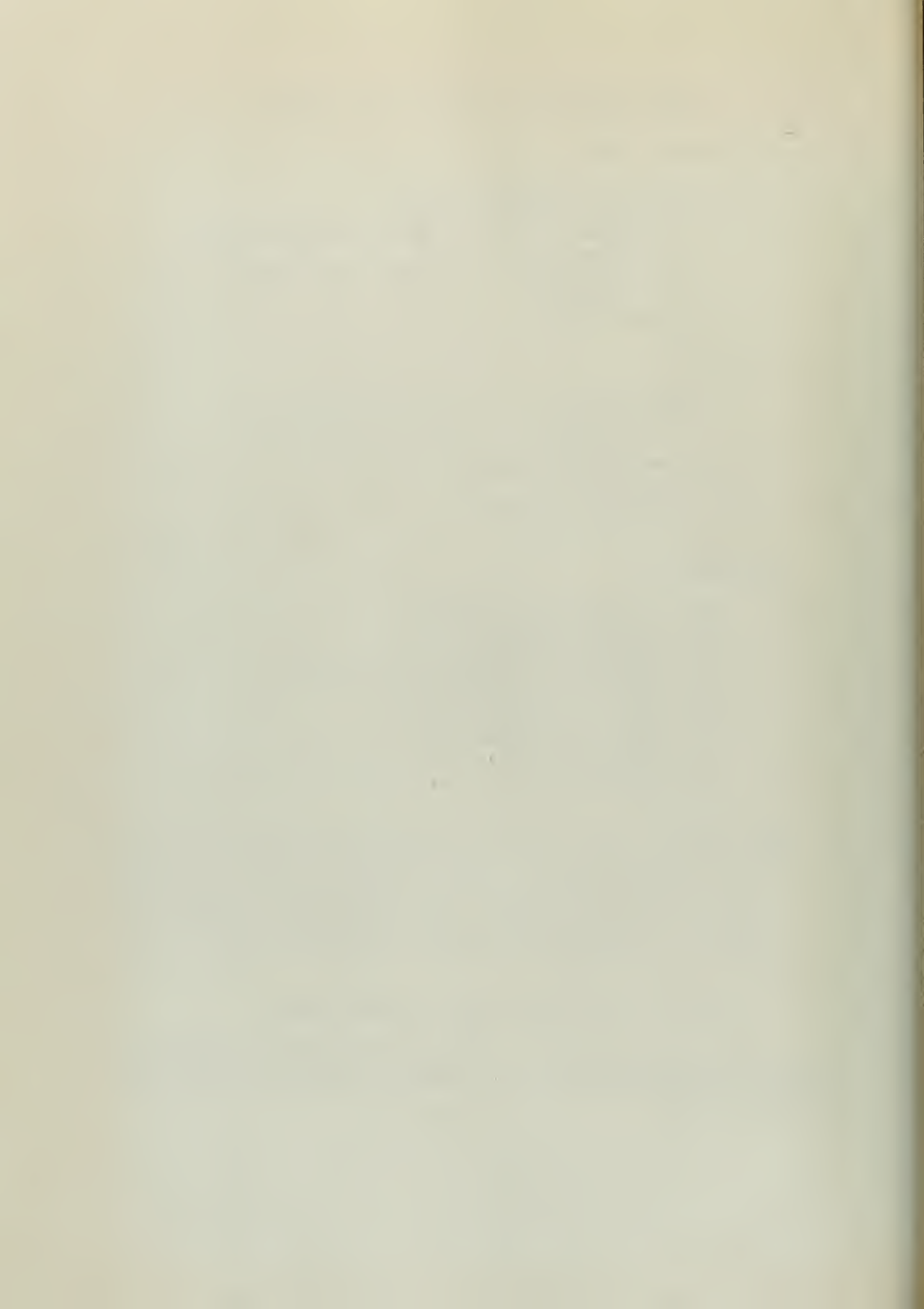
12. Special trainee positions
13. Multiple management plans
14. Management cabinets
15. Understudy or assistant-to positions
16. Community leadership
17. Health and fitness programs.
18. Individual counseling
19. Assignment to training or sales department
20. Sponsor plan

Note:

Most companies with programs use a multiple approach. That is, they may employ half the techniques listed in this box, or even more. The three groupings are, of course, arbitrary, and they are based on the practices of only a few dozen companies. Finally, a "sometimes used" technique may prove more effective for a given company than an "almost always used" one.

Fig. 5. Techniques of Executive Development

Taken from "Company Programs of Executive Development," Studies in Personnel Policy, No. 107, National Industrial Conference Board, Inc. New York, New York.



becoming acquainted with other people and their assignments. Both of the above methods provide orientation and insight into the nature of the responsibilities of other management positions, and assist the individual in identifying his own position in the total structure of management.

To provide precise or specific experience some companies have created assistant-to positions to satisfy the needs of specific individuals.

2. Individual Coaching

Most writers are agreed that the individual's immediate superior is the person best situated to instruct him in the performance of his work. Most certainly the immediate superior can observe the trainee's achievement and judge its merit. In addition, the superior's experience undoubtedly has equipped him to instruct the trainee at any time when his methods or his behavior need correction. At the same time, merely by observing the methods of the superior the trainee gets certain cues for the performance of his own duties. However, the example set by a superior has value only insofar as the trainee understands it. Therefore, according to many, the superior must invite questions regarding his own methods, particularly from a new man. According to one writer,³⁵ coaching "is generally of most value during early stages of a person's assignment to a new position". As time passes in the new position, less and less coaching is required if the individual adapts himself well.

A superior, when coaching, stimulates his juniors to do better

35. Ibid. 3, page 38

work and to try demonstrated methods. A resourceful coach will arrange special problems to channel the desired effort on the part of the trainee. Many illustrations of these special arrangements have been outlined.³⁶

3. Counseling

The purpose of counseling is to assist the individual to adapt to conditions of "life" beyond the limits of the job; to cope with problems having their origin in off-the-job situations but which may affect his ability to adjust to the demands of his job. The technique usually recommended is to avoid telling the trainee directly about his shortcomings of this nature, but, by skilful inquiry bring the trainee's methods into the spotlight and get him to question whether his own methods are effective. The Hill-Hann interviews reprinted in appendix A of Riegel's "Executive Development" are excellent examples of this technique.

Counseling, it is agreed, should be provided by the most appropriate person. These may be: the immediate superior, the company or personal physician, psychologist, training or education specialist, or the minister, depending on the nature of the problem on the one hand and the nature of the counselor in whom the trainee has the greatest confidence on the other.

36. In this connection see:

Reilley, Ewing W., "Organization and Developing the Management Team," Univ. Michigan Bur. Industrial Relations, 1950;

Mace, Nyles L., "The Growth and Development of Executives," Graduate School of Bus. Adm., Harvard Univ., 1950, Ch. 6.



4. Special Reading Assignments

Special reading assignments have the purpose of extending the "cultural" basis of the individual by providing him with an insight into other phases of the business world. The usual method is to assign reading from many of the reputable journals and texts thereby providing a review of general problems of business, management, current affairs, and other related topics.

5. Special Study Courses.

These courses have the purpose of providing the trainee with specific factual information which is required directly in the performance of his present job or has some direct relation to the requirements of the position for which he is being developed. The usual form of this type of training is the company-operated class or some special arrangement with local schools. Courses offered by various companies include: Accounting, Personnel Administration, Production Control, Methods Analysis, et cetera.

6. Conferences

Conferences serve as a source of information on research findings, theories, and principles of interest and concern to management personnel, and to encourage participation of management personnel in the review and discussion of these theories and principles. Conferences of this sort do much to aid in the development of the individual through informal discussion of problems common to management personnel. Professor C. H. Lawshe, Purdue University, has said, "Developing respect for oneself and developing respect for the other conferees are two major

benefits to be derived from conferences."³⁷ Conferences are offered by business and professional societies and universities; they range in length from three days to several weeks. Most writers agree that conferences are most effective if they are held on a full-time basis away from one's place of work.

7. Seminars and Institutes

These are similar to conferences in purpose, but are usually offered on a part- or full-time basis by universities. The major distinctions between seminars and conferences are that seminars cover specific topics in more detail, are more formal, and often much longer in duration. Conferences are devices of orientation and acquaintance; seminars are more educational in purpose. Examples of this training technique or method are: The Advanced Management Program of the Harvard Graduate School of Business Administration; The University of Pittsburgh's "Management Problems for Executives"; similar problems offered from time to time by the University of Western Ontario, Stanford University, and others.

The Advanced Management Program offered by Harvard, to take an example, offers the following six subjects which are discussed during the thirteen-week session:

1. Administrative practices
2. Business and American Economy
3. Cost and financial administration
4. Production management
5. Market management
6. Problems in labor relations.

Classes are one hour in length. The groups are small and the teaching

37. In a lecture before a graduate class in Industrial Psychology,

February 12, 1934, Purdue University.

is by the case study method with full participation on the part of the students. Mornings are devoted to class sessions, afternoons to special study groups, and there are occasional evening meetings with guest speakers. The program is a rich intensive one.

8. Committees

Committees serve the purpose of giving an individual the opportunity to work on specific problems and to be observed by his superiors. Under experienced leadership, committees are most valuable when made up of individuals from different levels and varied experience. This not only aids in the solving of a problem, but helps to develop each member of the group.

9. Junior Boards of Directors

This is the type of training for which McCormick and Company, Inc. of Baltimore, Md., under the leadership of Charles McCormick became so widely publicized. According to Charles McCormick, the junior board is not a final policy-making body. Its members study company problems and make recommendations to the senior board. Only recommendations supported unanimously by the junior board are referred to the senior board. The junior board is free to delve into any company matter which interests it. During the first five years the junior board was in existence "2,109 recommendations"³⁸ were passed up the line. Of those, "2,103 were adopted in whole or in part by the senior board".³⁹

To-day, McCormick and Company's junior board is composed of thirteen members all of which are elected by company employees.⁴⁰

38, 39. Ibid. 29, page 41.

40. For further information about these boards and about multiple management, see two books by C. P. McCormick; "Multiple Management", 1937 and "The Power of People", 1949, Harper Bros.

Summary

Mr. Frank W. Pierce, Director, Standard Oil Company of New Jersey, has very ably summarized the importance of developing executive talent.⁴¹

1. Management skill in our society is important. It has performed miracles in this country. But what we can do in the future to make our own society, and perhaps a world society, better, more secure, and richer in satisfactions, is conditioned by the job we do in developing management skills and passing them along to succeeding generations.
2. While we are moving in the direction of a profession in the management field, the art and science of management is in its infancy and there is plenty of room for growth. We do not know yet how to identify infallibly the man who can grow.
3. The need is not simply for men with specialized knowledge but for men with a broad sense of public responsibility - an awareness that institutions as well as individuals have citizenship responsibilities. For a great society we need a broad-gauged leadership.
4. There is increasing evidence that democracy is a sound idea not merely in political fields but also in business and industrial management. Democracy involves participation - distributing responsibility over a very wide area and a large number of people. The weaknesses of autocracy in government are its weaknesses in management.
5. Progressive management to-day recognizes that over-all efficiency is a product not only of scientific management in the strict sense of the term but also of wise human relations. As the attention of business leadership is being focused as much on men as on methods, business is finding means to provide in increasing measure the things every individual wants: justice in terms of fair play and fair dealing, a sense of individual importance, and opportunity and security. Human relationships can develop properly only if management, through intelligent training and wise coaching, prepares itself toward these ends.

41. Taken from an address presented under the auspices of the Industrial Relations Section, California Institute of Technology, on 22 March, 1951.

Based on the material presented in this section, the following seem to be the "requisites" of a successful program:

1. One should use a few simple techniques and stick to them.
2. Use the age-old rule of success -- "Find out what works and do more of it".
3. Include the essential elements:
 - a. Organizational planning - to determine needs.
 - b. Put emphasis on areas of greatest importance.
 - c. Determine the basic requirements of all executive positions to be involved in training.
 - d. Use a systematic method of appraisal.
 - e. Plan training programs for individual development - tailor the program to do the job.
 - f. Make judicious use of personnel audits and replacement inventories.
4. Obtain effective staff assistance.
5. Follow-up on the program effectiveness.

APPRAISAL OF EXECUTIVE DEVELOPMENT IN NAVAL ACTIVITIES

Factors Influencing the Growth of Navy Department

Executive Development

The functions of the United States Navy in time of war and its mission in helping to maintain peace during the current period of international tension are well known. Less well known, however, are the companion functions of research, engineering, development, production and administration carried on by the Department of the Navy in support of the Operating Forces.

In order to discharge these supporting responsibilities, the Navy Department employs thousands of civilian workers in almost every recognized endeavor from office workers to scientists at installations throughout the Nation. The Department of the Navy is one of the world's largest industrial employers.

The total Naval Establishment consists of three principal parts:⁴²

- (a) The Navy Department, which is the central executive authority of the Naval Establishment, located at the seat of the Government, comprising the bureaus, boards, and offices of the Navy Department; the Headquarters, United States Marine Corps; and the Headquarters, United States Coast Guard (when assigned to the Navy).
- (b) The Operating Forces, which comprise the several fleets, sea-going forces, sea frontier forces, district forces, Fleet Marine forces, the Military Sea Transportation Service, and such shore activities as may be assigned to the Operating Forces by the President or Secretary of the Navy.
- (c) The Shore Establishment, which comprises all activities of the Naval Establishment not assigned to the Operating Forces and not a part of the Navy Department.

42. United States Navy Regulations, 1948, Article 0101, paragraph 2.

The operations of an industrial establishment of the size required by the Navy encompass a wide variety of complex management problems, many of which are common to the operation of the largest private organizations. In addition, the non-industrial organization of the Navy required to service the industrial activities is large in comparison to similar private organizations. In order to meet the executive needs of the organization and to provide trained management talent of the required caliber, the Navy found it necessary to plan the development of outstanding employees.

In 1947, the Secretary of the Navy ordered a survey of fifty-three leading American industries to determine what they were doing to meet the shortage of managerial talent. Based on this sample, the report indicated that industry's approach was a "complete, formal, perpetual inventory plan of timed executive growth and replacement".⁴³

This report, often referred to as the "Asbury Report", recommended the adoption of a similar plan for developing executive talent in the

Federal Government.

The findings of the "Asbury Report", coupled with the Navy Department's experience in the Civil Service Commission's intern training programs and supplemented by certain features of the military leadership career training programs, formed the basis for the first Department-wide executive selection and development program in the Federal Government. This program was written into the Executive Selection and Development agreement⁴⁴ between the Navy Department and the

43. Ibid. 18, page 45.

44. See Appendix A.



Civil Service Commission, and began operation with the approval of the Agreement in January, 1950. In its original form, the program was limited to Departmental employees in the Washington, D.C., area. In May, 1951, it was extended in coverage to include both classified and unclassified employees of the Department throughout the country, and became the first Federal program for executive development on a Nation-wide basis.⁴⁵

Objectives

The over-all executive development program in the Navy has the following objectives, as defined by the Agreement:⁴⁶

1. Indoctrination and induction of specially selected and specially supervised employees into the major specialties of administration.
2. The development of present employees qualified in a limited administrative or technical field by increasing the scope of their administrative knowledge and abilities.
3. The addition for professional and scientific personnel of the administrative knowledge and abilities necessary to assume professional and scientific administrative duties.

Typically, employees selected to participate in the Program come from one of the following groups:

1. Recent college graduates and present Department employees in Civil Service grades GS-1 through GS-7.
2. Administrative specialists in grades GS-8 through GS-15 who need planned experience in other administrative fields.

45. See Appendix B, a letter from Chairman Ramspeck to Under Secretary of the Navy Kimball, dated April 27, 1951.

46. See Appendix A, page 1.

3. Professional or scientific personnel in grades GS-8 through GS-15 who must expect to assume administrative duties in order to advance in their respective fields.

It is the latter two groups with which this investigation is concerned. The training given to those persons in Group 1 is of a standard nature to provide basic training for potential administrative and management personnel through planned work assignments and related study, lasting six months. The employees from Groups 2 and 3 are called "Executive Trainees" and follow individually tailored training plans.

Initiation of the Program

The Navy Department's Executive Development Program emphasizes planned participation by all levels of management and by all major organizations within the Navy. This principle is carried through in the system by which it is planned and controlled.

Over-all general policy on civilian personnel matters is prescribed for all naval activities, departmental and field activities alike, in "Navy Civilian Personnel Instructions, 230". These instructions outline what is expected of the various naval activities in this matter of executive development, based on current directives from higher authorities and current legislation. Section 14-1 of NCPI 230 states:

The Civil Service Commission recommends the adoption by agencies of executive training and development plans. The Federal Service, as well as the individual, benefits by systematic career development of outstanding employees. In order to facilitate such training and development, the two plans described below are suggested.

a. Plan 1.

Assignment of administrative personnel to other branches of



administration. In order to broaden the experience of employees who are now engaged in one phase of administrative work, the Commission encourages their assignment to other administrative fields. Therefore, under the conditions specified below under the heading, "Conditions Governing Assignments for Executive Development Purposes," agencies may reassign or promote employees who are currently in one of the following administrative series to any of the others listed, even though they do not meet open competitive standards for the new assignment:

b. Plan 2.

Administrative training for specialized personnel. Since many federal administrators are selected from professional, scientific, and technical fields, the Commission urges agencies to provide systematic training in administration for specialized personnel who demonstrate an aptitude for administration. Reassignment or promotion of such specialists to administrative positions may be made under the conditions specified below under even though they do not meet open competitive standards for the new assignment.

The "Conditions Governing Assignments for Executive Development Purposes" will not be detailed here, but, in general, changes in line of work will be authorized by the Commission under conditions not covered by the Agreement whenever it can be shown that certain quite reasonable criteria are met.

Executive Selection and Development Board. In both the Departmental Service and in individual field activities, over-all planning, promotion, and direction are performed by an Executive Selection and Development Board. This is a top-level body composed of outstandingly well-qualified members in the major fields of administration supplemented by additional members in the scientific and technical fields when required. In Washington, the Departmental Civilian Personnel Officer is Chairman of the Board. In field activities, the Industrial Relations Officer is usually the Chairman.

The functions of the board are:⁴⁷

1. To require and approve training proposals.
2. To select candidates after evaluation of qualifications.
3. To certify successful completion of the training.
4. To follow-up and evaluate effectiveness of training programs and to recommend improvements when necessary.
5. To withdraw approval of training when it appears that
 - a. The training plan is being disregarded, or
 - b. Supervisors of the trainee report failure on the part of the trainee in assimilating the training given.
6. To receive and act on objections from non-selected candidates, operating and administrative officials.
7. To promote acceptance and to stimulate use of the program.

At the bureau level, in Washington, each bureau is responsible for initial selection of candidates, developing work assignments, and upon the completion of the training program by the trainee, for making maximum use of the new abilities acquired by the employee. These responsibilities, along with others relating to executive development, are carried out in each bureau by a specially appointed Executive Development Panel. Panel members are appointed by the bureau chief and must include qualified representatives from each major administrative area. Professional and/or scientific members are added when required. The Chairman of each Bureau Panel is a member of the Executive Selection and Development Board.

Training Committee. The Navy Civilian Personnel Instructions,

47. Appendix A. Section E, paragraph 4.

230, require⁴⁸ the Commanding Officer of field activities to appoint a training committee of which the ranking training supervisor shall be an advisory member and recorder. Furthermore, NCPI 230 recommends "that high level operating officials of the activity, such as Department Heads or their immediate subordinates, be appointed to the Training Committee". These instructions, in addition, state that "The Training Committee may designate sub-committees for specific types of training such as executive development, apprenticeship, etc."

Methods of Selection

There are, in general, three ways in which employees may become candidates for the Executive Development Program. These are: (1) personal application; (2) recommendation by a supervisor; or (3) recommendation by a Bureau Executive Development Panel. However, regardless of the manner in which an employee becomes a candidate, the final selection is the same in most cases. The procedure of becoming a candidate merely involves advising the Navy Department Executive Development Board that the employee is interested in becoming a candidate and that his supervisor approves or disapproves.

The final selection of candidates, in Washington, is made by the Navy Department Executive Development Board on the basis of the following factors:

1. Written tests designed by the Civil Service Commission to measure learning ability and potential for development.
2. Multiple interviews by Navy Department Executives.

48. Navy Civilian Personnel Instructions, Section 230.3-3, 4-1, a.

3. Comprehensive statements of career objectives and individual training plans.
4. Recommendations by a Bureau Executive Development Panel, supervisors, and other appropriate references.
5. Analysis of the candidate's experience, training, and performance.

At this point, it is to be noted that the major emphasis is placed on the development of the individual. Indeed, the purpose of the Executive Selection and Development Programs as stated in the Agreement is "Programs undertaken under this agreement are directed toward systematic career development of outstanding employees".

[Underlines added by the writer.] This view is further demonstrated by the fact that in the vast majority of cases, selection and development occurs only after the interested individual takes the initiative.

In the Bureau of Ordnance, it is only recently that responsibility for nominating candidates has been placed in the "chain of command".⁴⁹ Previous to this change in the nominating procedure line management tended to assume a passive role toward the nomination and selection of candidates. This passivity on the part of line management contributed directly to the low degree of participation experienced by the Bureau of Ordnance.⁵⁰ Figure 6 illustrates the procedure followed by the individual in getting approval for a program.

The following excerpt is taken from a presentation by Mr. William F. Rogers, Head Training Branch, Departmental Civilian Personnel Division, Executive Office of the Secretary of the Navy, given before a

49. See Appendix C, paragraph 3c, page 3.

50. See Appendix C, paragraph 3b, page 2.

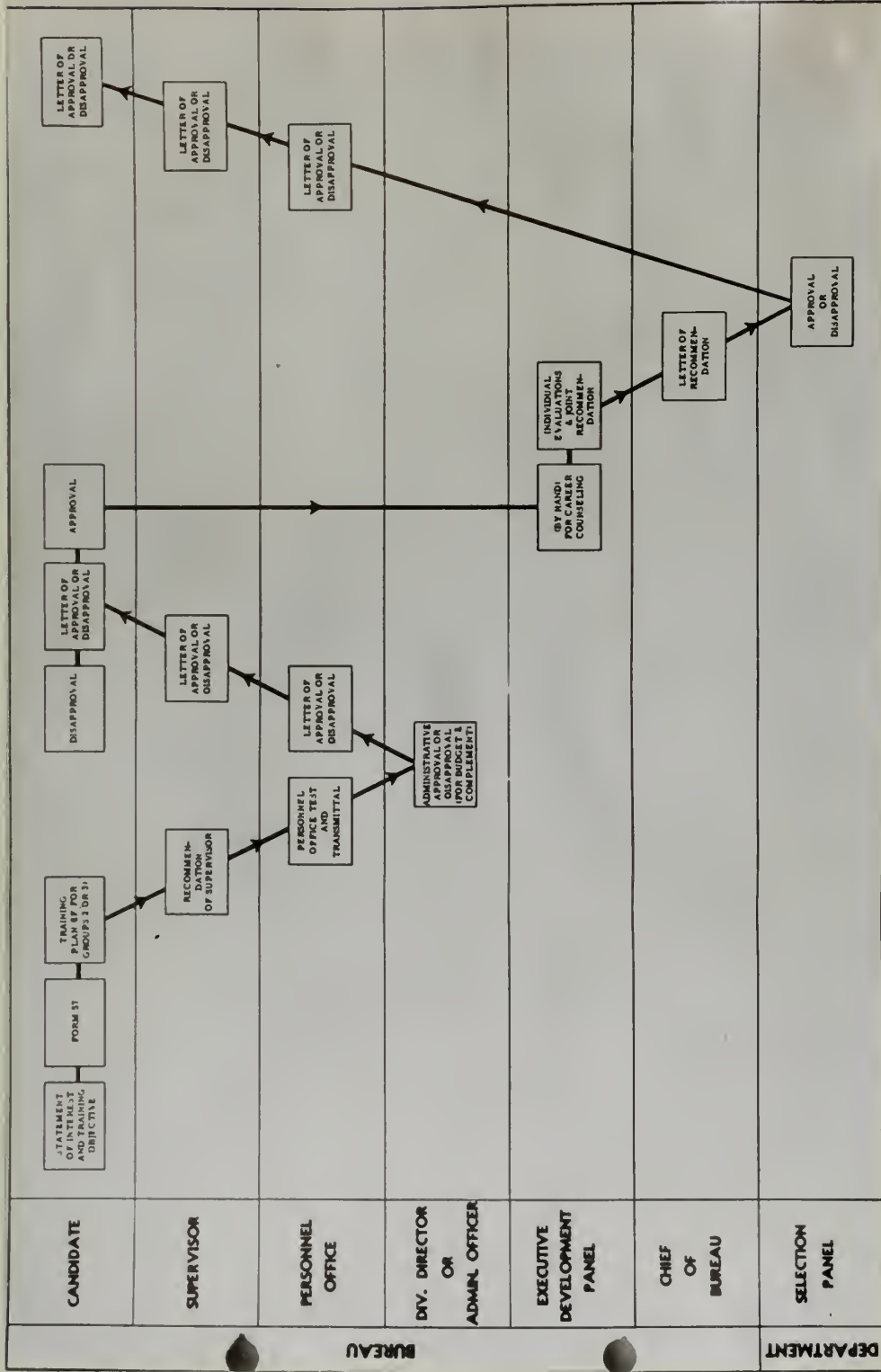


Fig. 6. Candidate Procedure - Executive Development

group of Bureau of Ships administrators on 23 May 1950. It indicates perhaps better than other written sources the manner in which most employees have gotten started in an executive development program.

..... The first candidate [in the Navy Department Development Program] is an organization and methods examiner, Grade 9. He and his supervisor and his office decided that they wanted him to take training for a budget analyst job, probably Grade 11. So he came to us and said, "I want to get in on this. My Executive Development Panel wants to get in on this. What do I do?" We said, "The first thing is to tell us where are you [sic] now - what is your position - what is your job? Second, do you really have an interest in continuing government employment? What is your training objective? What do you think you can get that the Navy will want when you are trained?" And he said, "Budget Analyst". We said, "All right. Set down those factors that are important to the job of Budget Analyst, and put beside them the things you have - experience and education." Then we said, "The third thing is to show how you are going to get the things you need to add to what you have - to get what you want." He wrote out a one-year program

again it seems pertinent to emphasize that organization needs or requirements are subordinate to the individual in the selection of candidates and in the arrangement of their respective training programs.

The Appraisal of Performance and Potential

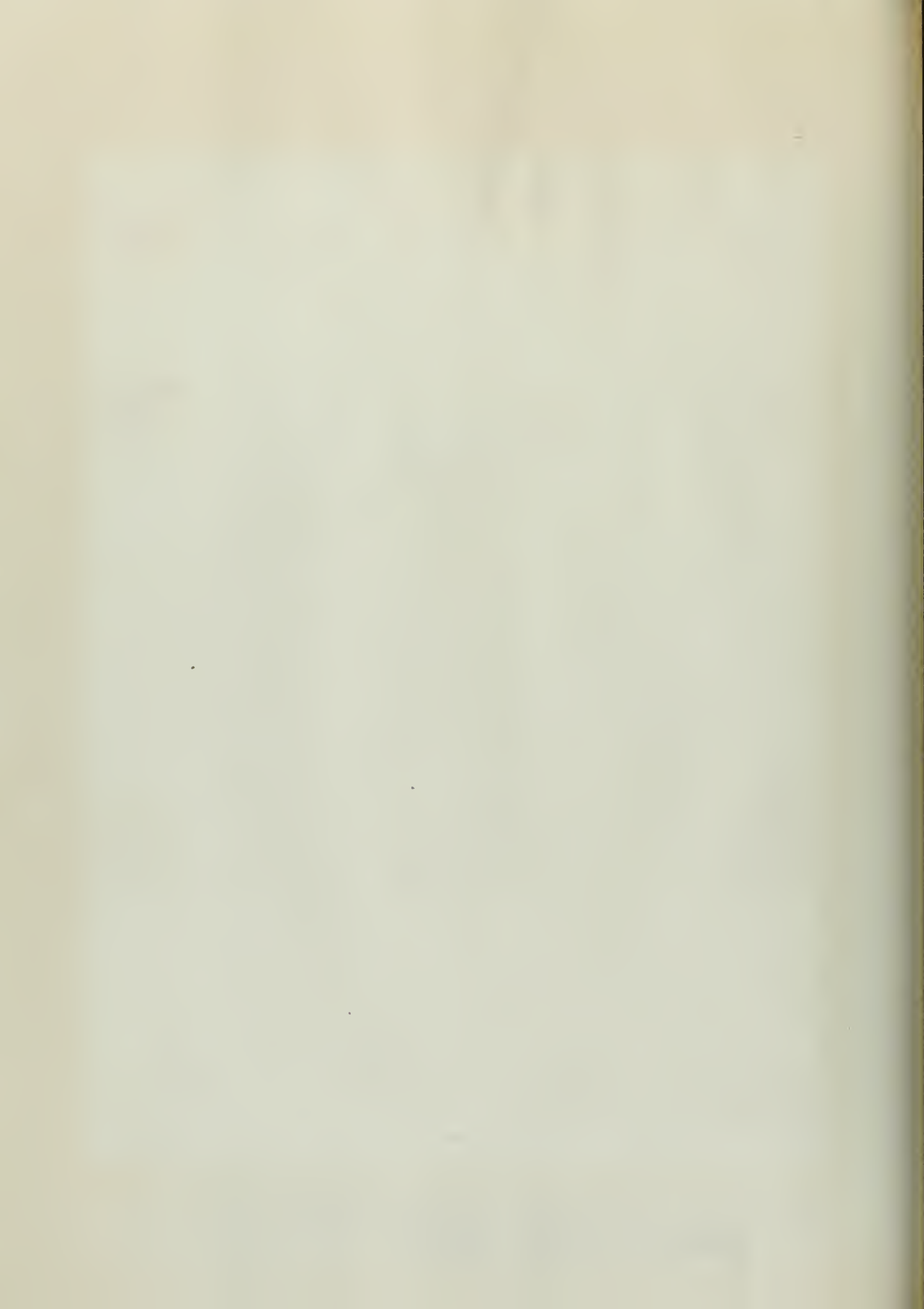
The appraisal of performance in the departmental program is not a formal one in the usual sense. It has been indicated in a previous section that, in general, a prospective candidate either applies personally, or is recommended by his immediate supervisor, for the desired training. The candidate's application, or his supervisor's recommendation is accompanied by Civil Service Commission Standard Form 57, Application for Federal Employment, (see Figure 7) which outlines the candidate's personal history and other pertinent information. In many cases, the Service Record Card illustrated in Figure 8, is also included. It is assumed that the supervisor's recommendation is based

APPLICATION FOR FEDERAL EMPLOYMENT			
<p>1. NAME (Last, first, and middle initial) _____</p> <p>2. ADDRESS (Street, city, and State) _____</p> <p>3. DATE OF BIRTH (month, day, year) _____</p> <p>4. SEX <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE</p> <p>5. MARITAL STATUS <input type="checkbox"/> SINGLE <input type="checkbox"/> MARRIED</p> <p>6. PLACE OF BIRTH (city and State, if born outside U. S., name city and country) _____</p> <p>7. HEIGHT (feet and inches) _____</p> <p>8. WEIGHT (pounds) _____</p> <p>9. (A) HAVE YOU EVER BEEN EMPLOYED BY THE FEDERAL GOVERNMENT? <input type="checkbox"/> YES <input type="checkbox"/> NO</p> <p>(B) IF SO, GIVE LAST GRADE AND DATE OF LAST CHANGE IN GRADE _____</p>		<p>10. CHECK IF YOU WILL ACCEPT A POINTMENT (Only if you are a member of the Civil Service Commission)</p> <p><input type="checkbox"/> IN WASHINGTON, D. C. <input type="checkbox"/> ANYWHERE IN THE UNITED STATES</p> <p><input type="checkbox"/> OUTSIDE THE UNITED STATES</p> <p>11. IF YOU WILL ACCEPT APPOINTMENT IN CERTAIN LOCATIONS ONLY, SPECIFY LOCATIONS _____</p>	
<p>12. (A) WHAT IS THE LOWEST ENTRANCE SALARY YOU WILL ACCEPT? \$ _____ PER YEAR</p> <p><i>You will not be considered for any position with a lower entrance salary.</i></p> <p>(B) CHECK IF YOU WILL ACCEPT SHORT TERM APPOINTMENT IF OFFERED, FOR _____</p> <p><input type="checkbox"/> 1 TO 3 MONTHS <input type="checkbox"/> 3 TO 6 MONTHS <input type="checkbox"/> 6 TO 12 MONTHS</p> <p>NOTE: Acceptance or refusal of a temporary short term appointment will not affect your opportunity to obtain a probational appointment.</p> <p>(C) IF YOU ARE WILLING TO TRAVEL, SPECIFY _____</p> <p><input type="checkbox"/> OCCASIONALLY <input type="checkbox"/> FREQUENTLY <input type="checkbox"/> CONTINUOUSLY</p>			
<p>13. EXPERIENCE: It is important for you to furnish all information requested below in sufficient detail to enable the Civil Service Commission and the appointing officers of agencies to give you full credit in determining your qualifications. Use a separate block for each position. Start with your present position and work back, explaining clearly the principal tasks which you performed in each position, accounting for all periods of unemployment. Experience gained more than 15 years ago which is not pertinent to the work for which you are applying may be summarized in one or more of the blocks. If your duties changed materially while working for the same employer, use a separate block to describe each position. You may include any pertinent religious, civic, welfare, or organizational activity which has been performed either with or without compensation, showing the number of hours per week and weeks per year in which you were engaged in such activity. All experience should be described in the spaces below in its proper perspective.</p> <p>(a) If you were ever employed in any position under a Federal Government that is shown in Item 5 of this application, give under "Previous Positions" the name of that position for each position, the name used.</p> <p>(b) If you have never been employed or are now unemployed, give that fact in the space provided below for "Previous Positions".</p>			
PRESENT POSITION			
<p>14. DATE OF EMPLOYMENT (month, year) _____</p> <p>15. PLACE OF EMPLOYMENT (city and State) _____</p> <p>16. NAME AND ADDRESS OF EMPLOYER (firm, organization, or person, if Federal, name department, bureau or establishment, and division) _____</p> <p>17. NUMBER AND KIND OF EMPLOYEES SUPERVISED BY YOU _____</p> <p>18. DESCRIPTION OF YOUR WORK _____</p>		<p>19. NAME AND TITLE OF YOUR PRESENT POSITION _____</p> <p>20. CLASSIFICATION (if in Federal Service) _____</p> <p>21. NAME AND TITLE OF IMMEDIATE SUPERVISOR _____</p> <p>22. KIND OF BUSINESS OR ORGANIZATION (e. g. wholesale or retail trade, manufacturing, etc.) _____</p> <p>23. REASON FOR DESIRING TO CHANGE EMPLOYMENT _____</p>	

Fig. 7. Civil Service Commission Form 57, Application for Federal Employment, sheet 1

16 CONTINUED		DATE OF EMPLOYMENT (month, year)		EXAMINATION		CLASSIFICATION		GRADE	
2		FROM		TO		(if in Federal service)			
PLACE OF EMPLOYMENT (city and State)		NAME AND ADDRESS OF EMPLOYER (firm, organization, or person, if Federal, name department, bureau or establishment, and division)		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER	
NUMBER AND KIND OF EMPLOYEES SUPERVISED BY YOU		DESCRIPTION OF YOUR WORK		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER	
3		FROM		TO		(if in Federal service)			
PLACE OF EMPLOYMENT (city and State)		NAME AND ADDRESS OF EMPLOYER (firm, organization, or person, if Federal, name department, bureau or establishment, and division)		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER	
NUMBER AND KIND OF EMPLOYEES SUPERVISED BY YOU		DESCRIPTION OF YOUR WORK		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER	
4		FROM		TO		(if in Federal service)			
PLACE OF EMPLOYMENT (city and State)		NAME AND ADDRESS OF EMPLOYER (firm, organization, or person, if Federal, name department, bureau or establishment, and division)		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER	
NUMBER AND KIND OF EMPLOYEES SUPERVISED BY YOU		DESCRIPTION OF YOUR WORK		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER		NAME AND TITLE OF EMPLOYER	

Fig. 7 (continued) Civil Service Commission Form 57,
Application for Federal Employment, sheet 2.



5

NAME (Last, first, and middle initial)

DATE OF BIRTH (Month, day, and year)

ADDRESS (Street, city, and state)

EDUCATION (Circle highest grade completed)

MARK (X) THE APPROPRIATE BOX TO INDICATE SATISFACTORY COMPLETION OF

ELMENTARY SCHOOL JUNIOR HIGH SCHOOL SENIOR HIGH SCHOOL

(C) NAME AND LOCATION OF COLLEGE OR UNIVERSITY

(D) LIST YOUR CHIEF UNDERGRADUATE COLLEGE SUBJECTS

(E) OTHER TRAINING, SUCH AS VOCATIONAL, BUSINESS, STUDY COURSES GIVEN THROUGH THE ARMED FORCES INSTITUTE (show name and location of school) OR "IN-SERVICE TRAINING" IN PUBLIC OR PRIVATE EMPLOYMENT

19 INDICATE YOUR KNOWLEDGE OF FOREIGN LANGUAGES

READING SPEAKING UNDERSTANDING

20 IF YOU HAVE TRAVELED OR RESIDED IN ANY FOREIGN COUNTRIES, INDICATE (1) NAMES OF COUNTRIES (2) DATES AND LENGTH OF TIME SPENT THERE AND (3) REASON OR PURPOSE (e.g., military service, business, education, recreation)

21 LIST ANY SPECIAL SKILLS YOU POSSESS AND MACHINES AND EQUIPMENT YOU CAN USE, SUCH AS OPERATION OF SHORT-WAVE RADIO, MULTILITH COMPTON, ETHER, KEY-PUNCH, TURRET LATHE, SCIENTIFIC OR PROFESSIONAL DEVICES

22 ARE YOU NOW OR HAVE YOU EVER BEEN A LICENSED OR CERTIFIED MEMBER OF ANY TRADE OR PROFESSION (such as pilot, electrician, radio operator, teacher, lawyer, CPA, etc.)

YES NO GIVE KIND OF LICENSE AND STATE

FIRST LICENSE OR CERTIFICATE (YEAR)

LATEST LICENSE OR CERTIFICATE (YEAR)

23 GIVE ANY SPECIAL QUALIFICATION, NOT COVERED ELSEWHERE, WHICH MAY BE APPLICABLE TO THE POSITION FOR WHICH YOU ARE APPLYING (do not submit copies unless requested)

(A) YOUR MORE IMPORTANT PUBLICATIONS

(B) YOUR PATENTS OR INVENTIONS

(C) PUBLIC SPEAKING AND PUBLIC RELATIONS EXPERIENCE

(D) MEMBERSHIP IN PROFESSIONAL OR SCIENTIFIC SOCIETIES, ETC.

(E) HONORS AND FELLOWSHIPS RECEIVED

Fig. 7 (continued) Civil Service Commission Form 57
Application for Federal Employment, sheet 3

Fig. 7 (continued) Civil Service Commission Form 57,
Application for Federal Employment, sheet 4



on first-hand knowledge of the candidate's ability in his present position in most cases. The Bureau of Ordnance, however, has had some unfortunate experience in this connection. This is illustrated by the following statement:⁵¹

Supervisors have tended to release their less able employees for this program because such employees tended to be in the "more available" category. Conversely, supervisors have tended to discourage their more able and more deserving employees from applying because they have been in the "less available" category.

It is certainly agreed that the immediate supervisor is in the best position to appraise the candidate's performance; however, as is indicated above, one cannot always rely on the supervisor, alone, to get the best employees started in the program.

Potential Appraisal. The appraisal of potential is based on the following factors:

1. A high learning ability, as demonstrated on written tests. The tests cover:
 - a. Verbal ability
 - b. Abstract reasoning.
 - c. Supervisory judgment.
 - d. Supervisory attitudes.
 - e. Interest preference.
2. Multiple interviews by Navy Department executives.
3. Study of the candidate's experience, education, training, and past performance.

51. See Appendix C, paragraph 3b (4), page 2.



With regard to the test battery indicated above, Mr. James Waln, Assistant Director of Civilian Training, Bureau of Ordnance, has said, "The Bureau of Ordnance Executive Development Panel does not put too much dependence on test results. The tests in use have not as yet been very well validated for the executive level." According to Mr. Waln, the test results are taken merely as an indication of potential, and if the results do not support the conclusions reached by interviewing executives, they are disregarded. It seems to the writer that this is the only sensible course to take until more valid assurance on the worth of the test battery is available.

Mr. Milton M. Mandell, Chief, Administrative and Management Testing, U. S. Civil Service Commission, writing in "The Development of Executive Talent"⁵² has briefly mentioned some of the results obtained in validation studies of the above tests. The verbal ability test, according to Mandell, seems to be a fundamental part of the selection process for executive positions because it measures the ability of the candidate in the group situation; however, validation work is needed. Of the supervisory judgment test, Mandel again states:

..... One study in a large shipyard indicated, for example, that there were six chances in seven that a person scoring 75 per cent or better on the supervisory judgment test would be a successful supervisor while, for those receiving scores of less than 50 per cent, there was only one chance out of eight that they would be successful supervisors

Of the abstract reasoning test, Mandell reports:

Studies by a large mail-order house and by a university professor and two studies of our own Civil Service Commission indicate consistently that a high level of interest in theoretical and abstract matters is related to success as an

52. Ibid. 7, pages 299-300

executive. These results are based on the use of the Allport-Vernon Study of Values.

Of the other tests no conclusive evidence is yet available, and only broad assumptions based primarily on intuition are offered on their validity when used in the executive situation.

The Personnel Audit

Very little evidence could be found that an audit or inventory of executive personnel was used. The only mention of organization training needs found was that in which the function of the Executive Development Panel was stated,⁵³ as follows: "..... to advise the Bureau on what and where needs for training exist, and to evaluate the effectiveness of programs designed to satisfy these needs". This fact is further supported by the comment of R. V. Vittucci⁵⁴ in the final report on his Executive Development Program. Vittucci listed as a basic weakness of the program the fact that "it should be integrated with an executive inventory and placement plan so as to use trained talent to the best advantage." Present thinking appears to be "train the man - then find a place to utilize his new-found abilities". By and large, recognized authorities in business and industry have found, as was pointed out earlier in this thesis, that an executive inventory must precede any thoughts on personnel training.

53. "Employee Development Opportunities", NavOrdInst 12230.2, Navy Department, Bureau of Ordnance, Civilian Personnel Branch, 29 October 1952.

54. "Final Report on Executive Development Program, R. V. Vittucci, U. S. Navy Department, Bureau of Ships, 6 October 1953.

Training and Development

General. Throughout the Navy Department individual training programs are arranged for each executive trainee. They are developed in cooperation with administrative specialists in the trainee's home bureau or office and are based on the training plan which he has outlined for himself after it has been approved by the Executive Development Board. Full use is made of in-service training programs conducted by the Navy Department. In addition, special outside activities may be included when they fill a definite need in the development of the trainee, providing "solicitation of naval departmental offices and other federal agencies fails to meet the training needs of an activity or the departmental service".⁵⁵

Outlining the Program. As has been previously mentioned, the prospective candidate or trainee is required to present his Proposed Executive Development Plan as an enclosure to his memorandum requesting nomination to the program. This training plan is expected to include, in chart form or otherwise:⁵⁶

What is to be learned, where it is to be learned, how it is to be learned - if by work experience, research project, course of study, etc., -- how long it will take, and to whom the employee will be responsible at the time. It should also show who is to be the employee's counselor or counselors during the program.

The prospective candidate invariably consults with his immediate supervisor and the Civilian Training Section of his own bureau or office in the preparation of his proposed training plan. The candidate, in

55. Navy Civilian Personnel Instructions, 230, Section 3-1 a, (1)(c), March 2, 1953.

56. See Appendix C, enclosure (4), paragraph B, (d).

outlining his program, studies in detail the requirements of the position he expects to obtain, notes those items in which he feels deficient or in need of further training, then bases his program on the factors indicated. The following training plan, taken from an enclosure to Naval Ordnance Instructions 12230.4 of July 7, 1953, is cited as an example:

NAVY EXECUTIVE DEVELOPMENT PROGRAM

For Organization and Methods Examiner (GS-13)

Following are the elements of my training plan, grouped by type.

a. Acquisition of Skills--Under this heading are listed the skills which I want to obtain or improve under this program. These are general skills, applicable to all kinds of administrative context and situations.

1. Navy Public Speaking Course, Fall, 1952. The ability to speak effectively in public is important to all men in executive positions. I received college training in public speaking, and have spoken before medium sized audiences fairly often during the past two years, but I feel that a refresher course would be very helpful at this time.

2. Two-Week Tour in Navy Office of Information, Summer, 1952. The public relations task is a sensitive and often critical one, and I believe that some knowledge of the techniques used by the Navy in this field will prove highly useful to me.

3. Navy Course in Conference Leadership, Fall, 1953. I have had a fair amount of experience in conference leadership, but here again I feel that a refresher course would be beneficial.

4. Thirteen-Week Course in Advanced Management, Harvard Graduate School of Public Administration, Cambridge, Mass., Spring, 1953. This Harvard course is reputed to offer an unexcelled opportunity to become familiar with the philosophy of top-level business management.

b. Acquisition of Substantive Information and Knowledge--Under this heading I have listed those parts of my training plan which will provide me with substantive knowledge and skills required by my career plan.

1. Participation in Field Inspections of the Industrial Survey Division, May, August, December, 1952. Inspections represent one of the major devices of management control, and participation in several of the field inspections of the Industrial Survey Division will additionally help acquaint me with operating policies of other bureaus.

2. Two-Week Tour in Financial Division, Bureau of Ordnance, Summer, 1952. The purpose of this tour would be to gain some knowledge of the budget preparation, financial administration and fiscal systems as they function at the Bureau level.

3. One-Week Tour in the Office of the Assistant Comptroller, Director of Budget and Reports, Fall, 1952. This brief tour would give me some insight into Navy-wide budgetary practices.

4. One-Week Tour in the Office of the Special Assistant to the Under Secretary for Manpower, Winter, 1952. This tour would acquaint me with overall Navy manpower controls.

5. One-Week Tour in the Bureau of the Budget, Spring 1953. The purpose of this tour will be two-fold: (1) to view the budget process at the top level; (2) to become acquainted with the Budget Bureau's Management Improvement Program.

6. One-Week Tour, split between Research and Development Board and Office of Naval Research, Spring, 1953. This and the following item are intended to give me some acquaintance with research administration and management. Research is an important Navy task, and I include these two items since I have had no experience or training in this area.

7. One-Week Tour, split between Research and Development Division, Bureau of Ordnance, and the Naval Ordnance Laboratory, Summer, 1953.

8. One-Week Tour in Office of Industrial Relations, Fall, 1953. This tour will give me a picture of the policy-making process relative to industrial relations.

9. One-Week Tour in Management Division, Office of the Comptroller of the Army, Spring, 1953. The purpose of this tour will be to learn something of the management improvement techniques used in the Army.

Other tours in Department of Defense and other government agencies to be arranged.

c. Acquisition of Appreciation and General Information--The items listed here are more general than any of those appearing above. They are planned purely to add perspective, and an appreciation of the Navy's task.

1. One-Week Cruise Aboard a Naval Vessel, Summer, 1952.

Others to be arranged.

List of Conferences Required

1. One-week tour in Navy Office of Information--Conference will be required with Deputy Chief of Information.
2. Participation in Industrial Survey Division Inspections--Conference will be required with Director, Industrial Surveys.
3. One-week tour in Office of Special Assistant to the Under Secretary for Manpower--Conference will be required with the Special Assistant to the Under Secretary.
4. One-week tour in Office of the Assistant Comptroller, Director of Budget and Reports--Conference will be required with Director of Budget and Reports.
5. Other conferences as required.

List of Readings

- Chester I. Barnard -- Organization and Management. Harvard University Press, Cambridge, Mass., 1948.
- Mary F. Follett -- Dynamic Administration. Harper, New York, 1939.
- Thomas M. Landy -- Production Planning and Control. McGraw-Hill, New York, 1950.
- F. J. Roethlisberger -- Management and Morals. Harvard University Press, Cambridge, 1941.
- Herbert A. Simon -- Administrative Behavior. Macmillan. New York, 1947.
- F. W. Taylor -- Scientific Management. Harper. New York, 1947.
- S. Hayakawa -- Language in Action. Harcourt, Brace. New York, 1941.
- Bethel, Smith, Atwater and Stackman -- Industrial Organization and Management. McGraw-Hill. New York, 1945.
- Marvin Bower -- Development of Executive Leadership. Harvard University Press. Cambridge, 1949.
- Learned, Ulrich and Booz -- Executive Action. Harvard University Press. Cambridge, 1951.
- Mooney and Reiley -- Principles of Organization. Harper. New York, 1947.
- Additional reading as selected.

Proposals for Related Study

1. I propose to continue taking evening courses in the fields of administrative management and budgeting, at American University, under V_A entitlement.
2. I propose to attend appropriate sessions and conventions of the Society for Advancement of Management, and American Society for Public Administration.

The proposed development plan is then forwarded to the employee's supervisor and any other interested persons for review, comment, and recommendations. If any serious differences of opinion occur they are discussed with the prospective candidate with the intent of arriving at some compromise solution. This amended plan then goes to the Executive Development Panel for review and approval or disapproval.

It is appropriate to note at this point that the Executive Development Panel membership is arranged to include top-level executives in the field of interest of the candidate. The program is fully discussed during the course of the interview with the candidate.

Training Procedures. It has been mentioned previously that training programs for executive personnel in the Navy Department are hand-tailored to meet the needs of the individual. The training program is highly flexible. A wide variety of training methods are used in different combinations depending upon the gaps which exist in each trainee's background of administrative knowledge and experience. Individual programs are permitted to vary in length from six months to two years. Six months is allowed if the training is intended to be full-time; part-time programs are permitted to extend over a two-year period. The usual practice is to organize a six-month program and then extend it over a period of two years. In the Navy Department program,

to date, thirty-eight employees have either completed an executive development plan or are presently undergoing such training. The following are among the most widely used training techniques for Department executives:

1. Job Rotation.
2. Understudy positions.
3. University courses.
 - a. Attendance at evening school in local universities in a degree program.
 - b. After-hours graduate training program offered by local universities.
 - c. University of Pittsburgh eight-week course in "Management Problems for Executives".
4. Speaking assignments.
5. Participation in professional societies.
6. Committee assignments.
7. Attendance at military schools such as the National War College and the Industrial College of the Armed Forces.
8. Basic communication and conference leadership training.
9. Reserve training duty.
10. Counselling junior workers.
11. Substitution for superior while he is on vacation.
12. Special assignments.
13. Orientation courses.
14. Instructor in supervisory training programs.

In addition to activities of the type listed above, executive trainees attend an organized group seminar which meets once a week. Under the leadership of the Program Director, trainees plan and organize

group activities in administrative areas not covered by other phases of the Program. Included are sessions devoted to case studies in administration, lectures by guest speakers on specialized administrative subjects, and work group assignments on special projects.

Other Training Techniques. In the immediate Washington area there are at least four other seminars or institutes not included in the outline above. These are:

1. Management Practices Seminar.
2. After-hours Graduate Training Program.
3. Management Improvement Institute.
4. Office of Industrial Relations Institute.

The Management Practices Seminar developed from an experimental training program utilizing the Harvard Case Method of studying administrative problems. The objectives of the program are:⁵⁷

- a. Develop further insight into and understanding of management problems in an actual work situation.
- b. Provide an opportunity for evaluation of alternative actions in meeting a specific problem.
- c. Practice decision-making.
- d. Profit from past experiences in solving management problems.

Since the success of the case method depends largely upon the skill of the discussion leader and the extent to which he is able to elicit active group participation, the seminar sessions are conducted by leaders especially skilled in leading group discussions. Problems of the fol-

57. Obtained from conversations with personnel in the Executive offices of the Secretary of the Navy, especially Mr. W. F. Rogers.

lowing type are usually dealt with:

1. Role of a task force.
2. Field-department relationships.
3. Selection for promotion.
4. Line-staff relationships.
5. Reorganization of an activity.

Arrangements for after-hours courses have been made with a number of universities in the Washington area. Emphasis is on instruction leading to a degree of Master of Arts in three fields:

- a. governmental administration,
- b. comptrollership,
- c. public personnel administration.

These programs have been tailored to meet the needs of Navy employees for additional academic training in administration and management. Employees must meet the admission standards established by the university concerned, and tuition fees must be paid by the individual employee.

The Management Improvement Institute is among the most important management development activities of the Navy Department and is sponsored by the Office of the Management Engineer. The purpose of the Institute is to provide basic and refresher training in the fields of management and industrial engineering. Special emphasis is placed on the application of sound management principles to the solution of Navy management problems. The Institute courses are specifically designed for the following groups:

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58. From conversation with Mr. Edward Dawson, Associate Management Engineer, Office of the Management Engineer, Navy Department, on 23 December 1953.

1. Heads of field activities.
2. Heads of departments or equivalent positions in field activities.
3. Officers (Lieutenant Commanders and above) occupying management or industrial engineering billets in Departmental or field activities.
4. Key civilians (Grade GS-11 and above), Departmental and field, concerned with management engineering matters.

The Institute program includes subjects dealing with both governmental and industrial management methods and programs. The following partial list of topics from a recent Institute illustrates the topics covered:

1. President's Management Improvement Program.
2. Manpower Management.
3. Executive Development.
4. Application of Work Measurement in Private Industry.
5. Management Cost Control.
6. Multiple Management.

It is of interest to note that in the most recent Institute, topic 4 above was presented by E. I. DuPont deNemours Company; topic 5 by General Motors Corporation; and topic 6 by McCormick and Company, Inc.

For several years, the Office of Industrial Relations of the Navy Department has sponsored and conducted a series of institutes. To date, more than 800 individuals have taken part. These Institutes are two weeks in length, full-time, and are held at various times throughout the year. Participants are generally key executives in their respective naval activities, and are selected on the basis of nomination by their commanding officers and approval by the Office of Industrial Relations.

Among the presentations given at this Institute are:⁵⁹

1. Relationship of the Office of Industrial Relations to Under Secretary of the Navy, bureaus and offices of the Navy, and field activities.
2. Responsibilities and duties of the Industrial Relations Officer in a naval activity.
3. Recruiting, testing, and examining policies and guidelines.
4. Safety and accident prevention program, field safety surveys, accident analysis, recognition of excellence in safety achievement.
5. Basic objectives and principles of position classification in the Federal service, position evaluation methods, wage administration, wage determination, surveys, etc.
6. Labor relations and employee-management relations.
7. Performance ratings: principles and procedures.
8. Training for employee development.
 - a. Major training programs
 - b. Relationship of the training official to line officials in the local activity.
 - c. Trends in training and development of civilian personnel.

The subject coverage indicated above coupled with directed group discussion of cases and experiences, according to Mr. Colbert, provides the best kind of orientation for line officials, military and civilian, in Navy industrial relations policies and guidelines.

Conclusions

With the approval of the Navy's Executive Development Program formalized by the written agreement between the Department of the Navy

59. From conversations with Mr. Roy Colbert, Training Division Director, Office of Industrial Relations, Navy Department, on December 28, 1953.

and the U. S. Civil Service Commission in January, 1950, and amended in May, 1951, executive training began with all the uncertainty and difficulty that is usual when something new and untried is inaugurated. The first two years of executive training recorded a lack of acceptance by operating executives, especially the military, vagueness, and indirection, and in some places adamant hostility toward such training. Even to-day there are some who either fail or refuse to recognize the value of executive development training in the Navy Department. The most often stated criticism, again, particularly from the military, is "There is not time to devote to such training because we are forced by factors beyond our control to operate with inadequate numbers of qualified personnel". One officer has stated, "Some of the executives in my division are so over-loaded with work that some correspondence has remained unanswered for three months. There just isn't time to spare for training purposes". The writer admits that such conditions may exist in a large complex Federal organization; however, an inquiring mind would first suspect that here, indeed, is a place where the need for training most certainly exists, or at least where a study of the functional organization requirements is indicated. Such was the beginning of executive development training in the Navy Department.

At present the program is clearly defined, guidance is much improved, and line management has recognized the advantages to be obtained from executive training. Top-level administrators including the Chief officers of the bureaus and offices have directed that line management will be responsible for nominating candidates for executive training. This has had a tremendous effect on the degree of participation in the

program, evidenced by the fact that there are two hundred sixty-eight persons now in the program.

The following appear to be the most significant features of the Navy program as it exists to-day:

1. Organized programs for the selection and development of management personnel are supported and promoted at the top management levels.
2. Programs emphasize the training of technically qualified employees with a high degree of potential administrative ability to fit them for increased management responsibility within their own areas of specialization.
3. Development programs utilize a variety of techniques and methods, each designed to meet a specific training need. Many of these methods have proven successful in private industry.
4. Within each major organization of the Department, specially designated boards and panels direct and control management training activities to insure maintenance of uniformly high training standards and conformance to organizational policy in this area.
5. In general, programs fall into two broad groups: (1) those designed to develop outstanding employees for future executive positions and (2) those designed to improve the management performance of present executives.
6. In some bureaus and offices progress is being made toward studying practical needs of the organization with the view of eventually integrating an executive inventory and placement plan with the training.

Strengths of the Program. The following points appear to the writer to be the major strengths of the Navy Department Executive Development Program as it exists to-day:

1. The program is highly flexible and can, therefore, be made to fit the needs of the individual.
2. Priority is given to the trainee permitting him to take part in Conference Leadership, Basic Communication and other on-the-job courses available.
3. The entire Executive Development Programs Staff of the U. S. Civil Service Commission is available for consultation and guidance in any phase of executive training.
4. A receptive attitude on the part of the trainee is developed and maintained by permitting him to originate his own training program and schedule.
5. Many Institutes and Seminars are made available to the executive trainee.
6. Planned work assignments are used wherever possible.
7. The training program is integrated into regular operations.
8. Top civilian management support is given to all training.

Weaknesses of the Program. The basic weaknesses of the Navy Department Executive Development program as they appear to the writer are:

1. Little organization planning is evident. Organization planning should provide a blueprint of future and present executive needs, and give the relationship and content of the positions for which the executives are to be developed.

2. The executive training program is not integrated with an executive inventory and placement plan. Integration with such a plan would greatly improve the use of trained personnel.
3. Too little management backing, particularly from the military, is still a serious impediment to wide participation in training.
4. Many trainees are attempting to cover too much in too short a time.

CRITERIA

As a result of the study of executive development training programs described in the previous sections, the following criteria are presented for use in establishing similar training programs in ordnance field activities:

1. The program should be based on effective long-range organization planning.
2. An Executive Development Committee should be appointed charged with the development of guiding principles and specific procedures necessary to the success of the program.
3. The membership of the Executive Development Committee should include: (a) the Commanding Officer; (b) the operating heads of the various divisions of the activity; (c) the branch head of the "branch in question" in individual cases; and (d) the Industrial Relations Director as a staff representative.
4. A job description should be written for each position in the organization.
5. An inventory or audit of personnel in executive positions should be made to determine present and future executive requirements. Requirements should be projected ahead at least five years.
6. An appraisal report should be prepared on each executive and prospective executive outlining his performance,

potential, and training needs.

7. A systematic selection procedure should be developed to permit the designation of candidates for training and development and to insure that no one is overlooked.
8. Procedures should be developed that will insure that
 - (a) the progress of an individual and his needs for development are periodically reviewed, (b) development is planned to fit the individual's requirements, and (c) the individual receives counselling from line authority regarding his progress or lack of it.

RECOMMENDATIONS

The following recommendations are offered with the hope that they will prove to be of value in the establishment of an executive development training program in an ordnance field activity. These recommendations are based on this study of a wide assortment of training programs, and on the criteria established as a result of this study.

1. Organization Planning

Organization planning is the key to the solution of executive problems, and therefore must be the first step in setting up a training program. Organization, of course, is inevitable. Management is faced with the choice of two alternatives: planned organization, or haphazard organization. This, often, is a difficult choice because haphazard organization is truly undesirable and planned organization is inevitably resisted. The control of this problem requires the intelligent application of the following concepts:

- a. Delegation of responsibility and authority.
- b. Principles of good administration.
- c. Principles of effective supervision.
- d. Principles of competent staff assistance to line managers.

The organization chart is, of course, an essential element; however, it is not sufficient. The qualifications of the executives who may fill the charted positions should be determined by outlining:

- a. The duties and responsibilities to be met by the incumbent.
- b. The extent of authority he shall exercise.

- c. The relationships he must satisfactorily maintain with others, either individually or in groups.

This outline should be sufficiently detailed to serve as a basis for:

- a. Management selection of candidates to fill the position.
- b. Determination of training needs.
- c. Planning means for development.
- d. Review of performance against position requirements.

2. The Replacement Chart

A replacement chart or table should be prepared on which the names of the incumbent for each position are listed together with the names of the persons who may be considered candidates to fill the position in the event of a vacancy. This device gives a working list of the best prospects for leadership within a group.

The first test of the replacement table or chart is a study of ages. Quite frequently this results in surprises. Many companies have discovered poor distribution in the age of key personnel. The spotlighting of the age distribution, retirement plans, and expected resignations will point out the positions for which a replacement must be made available at some specific date.

3. Executive Appraisal

An appraisal report should be prepared on each prospective executive. The report should include at least the following information:

- a. What are his qualifications - strengths and weaknesses.
- b. What are his possibilities - growth potential.
- c. What the person needs in the way of training.
- d. A planned course of action.

This report requires a most thorough knowledge of the capacities of each person named on the replacement chart or table. Where there is a tendency to neglect carefully studied appraisals with the statement, "We know our people", one is reminded that factual personal histories of work experience frequently lack important data, which are much easier to obtain than information on abstract factors, such as interests, personality, and leadership qualities.

4. Individual Training

Training must be tailored to the findings in the appraisals of the individual's needs, and to the requirements of the position each may fill as indicated by the replacement chart. The needs of the organization as a whole must not be subordinated or overlooked. One cannot afford to train people just for the sake of training them. This last point appears to be a weakness of many government training programs.

5. Techniques and Procedures

A study of the training and development techniques available to the field activity should be made, including the possibility of arrangements with local educational institutions, colleges, and universities. The possibilities of such techniques as:

- a. Job rotation.
- b. Special assignments.
- c. Seminars and institutes.
- d. Group discussions.
- e. University courses such as those offered at Harvard, Massachusetts Institute of Technology, and University of Pennsylvania, should be explored.

6. Executive Development Board or Committee

Finally, an Executive Development Board or Committee should be appointed and charged with the development of guiding principles and specific procedures necessary to the success of the program. This committee should review records and performance of personnel in executive positions, determine training needs, select candidates, develop or approve the individual training program, and conduct the review and follow-up functions necessary to the development of the personnel in the program. This committee, of course, should have its membership made up along the lines stated in the criteria presented earlier in this study, and should not be subordinate to any other training committee operating in the organization.

7. Precautions

- a. The activity commander must establish the proper "climate" within the organization. No program can succeed if top management does not back the program all the way.
- b. Insure that training is, and remains, a "line" function. A program cannot succeed if the operation of the program

is turned over to staff personnel or to outsiders.

- c. The worth of an executive development training program should be measured not only in terms of dollars, but also in terms of the intangible and long-range results.
- d. The program should not be one in which a major part is observational in character. An observational program does not permit the operation of one of the essential elements of any training program -- Learning by doing.
- e. Insure that the programs are suited to the requirements of the individual. All executives should not be put through the same course.
- f. It is essential that a program start slowly and that it start at the top of the management hierarchy. The better programs in existence have been evolutionary, not reforms.
- g. Insure that too large a scope is not taken at first; obtain success with each step and gradually expand the program.
- h. Make certain that it is well understood that the program is voluntary. Participants will usually not give full cooperation to a compulsory program.
- i. Beware of instituting verbatim programs that have been designed for other activities. An effective program is one that has been especially arranged for the activity in question.

Finally, an executive development program may be viewed at first as dealing only with individuals in the higher levels of management. It should be started at that level. However, if executives are to be selected in the future from lower levels of supervision, the executive development program will eventually have to consider the selection of first-line supervisors, the selection and development of potential supervisors, and even perhaps the selection of employees.

APPENDIX A

AGREEMENT FOR EXECUTIVE SELECTION AND DEVELOPMENT PROGRAMS

DEPARTMENT OF THE NAVY

APPENDIX A

AGREEMENT FOR

EXECUTIVE SELECTION AND DEVELOPMENT PROGRAMS

DEPARTMENT OF THE NAVY

(Approved January 30, 1950)

- A. **PURPOSE.** Programs undertaken under this agreement are directed toward systematic career development of outstanding employees. It anticipates the creation of a group of career executives through planned work assignments and related study:
1. Indoctrination and induction of specially selected and specially supervised employees into the major specialties of administration.
 2. The development of present employees qualified in a limited administrative or technical field by increasing the scope of their administrative knowledges and abilities.
 3. The addition for professional and scientific personnel of the administrative knowledges and abilities necessary to assume professional and scientific administrative duties.
- B. **RESPONSIBILITY FOR ADMINISTRATION.** The Industrial Relations (Civilian Personnel) Department of an activity will be responsible for the development, administration, and evaluation of
1. The selection procedures.
 2. The training procedures.
 3. The placement procedures.
 4. The maintenance of suitable minimum records to provide post-audit judgments by Civil Service Commission inspectors.
- C. **NATURE OF THE GROUP:** Typically, the groups indicated in the purpose can be represented by:
- Group 1. A young person with a high level of learning ability and an effective personality who needs broad experience in administrative fields as a basis for future executive position.
2. An administrative specialist, grades GS-7 through 15, who is adequately qualified in his present specialty and has given evidence of potential for future growth, but who needs planned experiences in other administrative fields to assume responsibilities as a competent executive or administrator.

Group 3. A professional or scientific employee who has given evidence of potential for future growth and who must expect to assume duties in the administrative field in order to continue advancement in the professional or scientific area.

Group 4. A wage board employee who has given evidence of potential for future growth who (a) is in a IV A position, or (b) possesses the necessary experience qualifications for a IV A position.

D. REQUESTS FOR PARTICIPATION: Individuals may be considered for participation based on:

1. An application which is accompanied by a training proposal of the type listed below, or
2. Nomination by an administrative official who will provide or who will prepare in cooperation with the individual nominated a training proposal in the form indicated below:

E. PROCEDURES FOR ADMINISTRATION: An Executive Selection and Development Board will be established under the procedures and criteria which follow:

1. Establishment of Board

- a. The Board will consist of sufficient members to represent the major areas in the field of administration.
- b. The Board will be supplemented by additional members in the scientific and technical fields as the needs arise.
- c. The Industrial Relations (Civilian Personnel) Officer will be chairman of the Board.
- d. By agreement of two or more activities, joint boards may be established.

2. Selection of Board Members

- a. Board members shall be selected from the high level managerial group of the activity.
- b. Members will be appointed by the head of the activity.

3. Criteria for Selection of Board Members

Board members must possess:

- a. Outstanding administrative, scientific, or technical qualifications in their own specialized fields.

- b. Demonstrated ability to evaluate qualification and potentialities of their own employees and to train and develop them.
- c. Interest in and acceptance of the objectives of the program.

4. Functions of the Board

- a. To require and approve training proposals.
- b. To select candidates after evaluation of qualifications, from analysis of
 - (1) Experience
 - (2) Education and training
 - (3) Performance record
 - (4) Test results
 - (5) Corroborative information from supervisors, former employers, instructors, etc.
 - (6) Interview reports
- c. To certify successful completion of the training.
- d. To follow-up and evaluate effectiveness of training programs and to recommend improvements when necessary.
- e. To withdraw approval of training when it appears that
 - (1) The training plan is being disregarded, or
 - (2) Supervisors of the trainee report failure on the part of the trainee in assimilating the training given.
- f. To receive and act on objections from non-selected candidates, operating and administrative officials.
- g. To promote acceptance and to stimulate use of the program.

5. Functions of the Chairman

- a. To develop and administer the program.
- b. To develop standards and criteria for operating the program.
- c. To provide training and technical assistance to Board members.
- d. To maintain operation of the program to conform to standards.
- e. To stimulate activities of the Board to obtain results with minimum time and effort.

F. **TRAINING PLAN:** A standard training plan can be arrived at for entry into administrative fields. No standard plan, however, will be assigned to meet additional needs of technicians, administrators, scientists, wage board employees, or professionals who are already competent in a limited field. For the latter groups individual training proposals will be necessary.

1. The following is an example of a standard basic training program for personnel from Group I.

a. Orientation. Three weeks.

Talks by or interviews with outstanding administrators, discussions, and presentation of functions of government, the Department and bureaus. Reading and study in field of administration.

b. Planned work assignments.

(1) Rotating work assignments in administrative fields--
fifteen weeks.

Work assignments in the major administrative fields in which the intern needs training and experience. Typically, the intern would be assigned to three weeks in each of the offices in the bureau or activity responsible for the following subject-matter: (a) budget and fiscal, (b) organization and methods, (c) personnel, (d) office services, and (e) public information and publications.

(2) Assignment to Administrative Officer.--Two weeks.

The intern would be assigned to work as closely as possible under the supervision of an administrative official (Administrative Officer duties).

(3) Trial assignment.--Five weeks.

This period would be used as a "trial assignment" for the position to which the person may be assigned after completion of training.

c. Seminars.-- Such as .

Talks by leading people in various administrative fields. Discussion of programs and projects. Self-improvement activities for the interns, such as discussion leading, public speaking, report writing, and arranging meetings.

d. Related Study.-- Attendance at a local university, taking correspondence courses, reserve officer training, participating in other organized group activities.

Appropriate courses to be arranged according to the training needs of the intern.

- e. Career counseling.--As necessary, throughout the program. Advice and guidance will be furnished by a competent counselor.
2. Personnel in groups 2, 3, and 4. (as indicated in paragraph c) will be required to submit individual training proposals which must include the following:
 - a. The training objective
 - b. Outline and duration of the planned work assignments (not less than six months or more than two years total) necessary to achieve the training objective. Full use will be made of present in-service training programs conducted by the Department of the Navy. For higher levels of personnel, most training will be individual consultations, conferences, or part-time continuing assignments with periodic reports on what is learned. Subsequent training will be primarily on-the-job training under selected supervisors, all of which will be supplemented by related study as approved or recommended by the Executive Selection Board.
 - c. A list of required individual and staff conferences necessary for proper induction into each new administrative area.
 - d. A list of assigned readings on which reports will be made to the supervisor of the administrative area in which training will be taken.
 - e. Proposals for related study, which may include evening school or correspondence courses from educational institutions, attendance at professional societies, or individual papers pertinent to the field of study.
 - f. Agreements to make brief narrative progress reports, at least quarterly.
 - g. Nomination of one or more persons to be considered as training adviser to the individual.
 3. Training proposals may include attendance at universities or colleges pursuing specialized courses.

G. OPERATING DETAILS:

1. For Group 1 individuals the standard training proposal will apply (See paragraph 1 under "TRAINING PLAN"). This is expected to provide a broad base for future executive development and to allow the individual to be assigned to any one of the following administrative specialties at the completion of six months of training.

GS-201 Personnel Administration Series
 GS-212 Placement Series
 GS-213 Qualifications Rating Series
 GS-214 Test Rating Series
 GS-221 Position-Classification Series
 GS-222 Occupational Analysis Series
 GS-223 Salary and Wage Administration Series
 GS-230 Employee Relations Series
 GS-301 General Clerical and Administrative Series
 GS-303 Organization and Methods Examining Series
 GS-304 Budget Administration Series
 GS-1711 Instruction Series

2. Group 2, 3, and 4, individuals will be given training according to the training proposal. The basic requirement will be for the training to complete necessary coverage of the following administrative fields:

- a. Personnel Administration
- b. General Administration
- c. Organization and Methods
- d. Budget Administration
- e. Public Information and Publishing

H. AUTHORIZATION: The Industrial Relations (Civilian Personnel) Office, acting under the direction of the Executive Selection and Development Board, will provide the written confirmation that the requirements of the training proposal are being met as a necessary prerequisite to personnel actions based on this agreement.

I. ACTIONS UNDER AUTHORIZATION (PLACEMENT):

1. Individuals in positions below grade GS-7, or equivalent ungraded positions, who successfully complete the six months standard basic training program may thereupon be promoted to grade GS-7 in any one of the listed class series (see "OPERATING DETAILS", paragraph 1).
2. Persons in grades GS-7 through 15 (see "OPERATING DETAILS", paragraph 1) may, for training purposes under an approved training plan, be transferred to positions at the same level in any of the listed class series. Further, as may be provided under an approved training program, persons in grades GS-7 through 15 in the listed class series may, upon successful completion of prescribed requirements be transferred and/or promoted to the next higher promotional level in that one of the other listed class series toward which the training was directed. Such transfers and/or promotions may be made on the basis that the training program will be required to provide the equivalent or established experience requirements.

3. Persons in Group 3 with professional or scientific backgrounds may be given credit for training time under an approved proposal against the time requirements for the next higher level job in the professional or scientific series, or may have the training time applied against administrative experiences which may be necessary for such a promotion.
4. Persons who successfully complete the approved training program for wage board personnel may be given credit for this training time in applying for a position at the next higher level. Persons in this group may have the training time applied against administrative experience requirements for promotion to positions listed under paragraph G-1.

APPENDIX B

LETTER FROM CHAIRMAN, CIVIL SERVICE COMMISSION
TO THE UNDER SECRETARY OF THE NAVY

APPENDIX A

LETTER FROM CHAIRMAN, CIVIL SERVICE COMMISSION, TO THE
 UNDER SECRETARY OF THE NAVY

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UNITED STATES CIVIL SERVICE COMMISSION
 Washington 25, D.C.

P

Y

April 27, 1951

Honorable Dan A. Kimball
 Under Secretary of the Navy
 Department of the Navy
 Washington 25, D. C.

Dear Mr. Kimball:

The proposal for Executive Selection and Development Programs for the Department of the Navy which you submitted with your letter of April 6, 1951 has been reviewed by the Commission and is accepted to supersede the original agreement of January 30, 1950.

Representatives of our Inspection Service have informed us of the success of your programs under the original agreement. It is noteworthy that not only was your Department the first to effect an Executive Development Agreement, but with the broader coverage provided by the new agreement also the first to extend the program to the field service and wage board employees.

We congratulate the Department of the Navy on this progressive step taken at a time when the selection and development of competent executive and administrative personnel will play so vital a part in our defense activities.

Again, let us assure you that the staff of the Commission will cooperate in every possible way with your Department and that you have our earnest support in the conduct of these programs.

Sincerely yours,

/s/ ROBERT RAMSPECK

Robert Ramspeck
 Chairman

APPENDIX C

NAVAL ORDNANCE INSTRUCTION, 12230.4, of July 7, 1953

APPENDIX C

NAVAL ORDNANCE INSTRUCTION, 12230.4, of July 7, 1953

DEPARTMENT OF THE NAVY
Bureau of Ordnance
Washington 25, D. C.

NAVORD 12230.4
Ad2-c
7 Jul 1953

NAVORD INSTRUCTION 12230.4

From: Chief, Bureau of Ordnance
To: Distribution List

Subj: Navy Executive Development Program for civilian personnel;
Bureau participation in

Ref: (a) NAVORDINST 12230.2, Employee Development Opportunities,
of 29 Oct 1952

Encl: (1) Sample training plan (technical)
(2) Sample training plan (administrative)
(3) Sample training plan (administrative)
(4) Detailed procedures for nomination

1. Purpose. The Navy Executive Development Program is designed to serve the interests of the Bureau by developing a more effective civilian working force. Interests of the individuals who may enter the program will be served by broadening their administrative skills and knowledge. In many cases it will result in more rapid promotion than would otherwise be the case. This program has strong Bureau sponsorship. It will require serious purpose and work from each participant. The program may ultimately prove to be one of the most effective tools for developing the best that is in our civilian force and thereby of achieving our objective of having the best run organization in the government. The purpose of this Instruction is to describe the operation and philosophy of the Navy Executive Development Program.

2. Cancellation. This Instruction and reference (a) supersede and cancel Part III, Chapter 3, Section 8 of the Bureau of Ordnance Organization and Procedures Manual. Notation to that effect should be made on pages 152-152.2 of the Manual.

3. Background. The Armed Forces in this country have for many years paid close attention to the development of their officer personnel for ultimate assignment to higher level managerial positions. In addition to the more conventional methods of training, job-rotation has been used extensively for this purpose. Job-rotation among military personnel is so common to-day that its training aspects are often overlooked. Nevertheless, it has been successful in developing leadership where the potential for it already existed, and in broadening and intensifying the

NAVORDINST 12230.4
7 Jul 1953

BUREAU OF ORDNANCE

individual's administrative experience. Industry has been forced, in recent years, owing to the very short labor market and the highly competitive nature of our modern economy, to adopt similar measures to develop their managerial personnel for tomorrow's top posts. As a result, well organized programs of executive development are to be found in a number of large industries. The primary factors affecting the successful development of a program in the Bureau are:

a. In July 1949, the Secretary of the Navy realized that the Navy Department could no longer leave to chance the development of competent civilian managers, and that the tightening labor market was making it increasingly difficult to employ ready-made managerial personnel from the outside. Accordingly, an agreement was made with the Civil Service Commission in early 1950 to initiate a program designed to develop the administrative skills of civilians who evidenced unusual potential for service to the Navy. Thus the program was instituted by and enjoys the full support of the Secretary of the Navy.

b. While in the past the opportunity to participate in the Navy Executive Development Program has regularly been made available to Bureau civilian employees, the degree of participation has been low. Those who have participated in the program to date have been uniformly outstanding, but their nomination and selection have been accomplished in the face of certain difficulties. These are:

(1) The initiative to participate in this program has been left largely with interested employees. Accordingly, line management has tended to assume a passive role toward their nomination and selection.

(2) There has been a tendency on the part of many of the more able and deserving civilian employees to postpone making application for the program because they have felt that their current work responsibilities would not allow them to take the time necessary to complete the program.

(3) There has been a tendency on the part of many of the less deserving and less able employees to make application for the program as a way out of their career difficulties, whether real or imagined.

(4) Supervisors have tended to release their less able employees for this program because such employees tended to be in the "more available" category. Conversely, supervisors have tended to discourage their more able and more deserving employees from applying because they have been in the "less available" category.

c. To encourage increased participation in the Executive Development Program, the procedure for nominating candidates has been modified to place the responsibility for nominating in the chain of command. (No publicity will be given to this program other than inclusion in reference (a), "Employee Development Opportunities," and memoranda to divisions at appropriate intervals.)

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4. Description. The Executive Development Program is divided into two sub-programs, the Executive Trainee Program (GS-8 through GS-15), and the Management Intern Program (GS-1 through GS-7).

a. Executive Trainee Program. The development of both technical and administrative personnel is provided by this program through rotational assignments, seminars, field trips, selected readings, and related university study.

(1) The following are examples within the scope of the program:

(a) Engineering and scientific personnel may broaden their administrative experience and knowledge and thus qualify themselves for higher managerial responsibilities within their own line of work. Enclosure (1) is a copy of an actual plan for training which served this purpose.

(b) Administrative specialists may use the program as a vehicle for transfer to other administrative areas for which they would not normally qualify. Enclosure (2) is a copy of an actual plan for training which resulted in such a transfer. (c) Administrative specialists may use the program to broaden their knowledge of administration within their own area, and thus fulfill partial requirements for promotion. A plan for training which actually accomplished this purpose is illustrated in enclosure (3).

(2) As shown by the enclosed training plans, a large part of the training consists of productive work. Training assignments when skillfully planned to make use of daily operating problems will make the training program less expensive from the standpoint of office workload. While such assignments may not always reflect the work priorities of the branch or section, operating problems can be exploited profitably for training purposes. The Civilian Training Section and the Bureau's Executive Development Panel offer assistance to nominees and their supervisors in developing such training plans.

(3) For candidates of grade GS-13 and above, an additional training element is available. Participation in "Management Institutes" offered at universities such as Pittsburgh, Northwestern, Cornell, and Columbia, is available on an optional basis. These programs, varying from four to eight weeks in length, pertain to executive problems and techniques. In addition to salary, the Bureau will pay tuition, travel and per diem for successful applicants.

(4) The Executive Trainee program requires a minimum of six months training. Because it is unrealistic to assume that outstanding persons can be given full-time training assignments for a six-month period, in the face of other work priorities, training assignments may be spread over a period of two years, on a part-time basis. With the trainee spending only 25 per cent of his time on training assignments,

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consisting largely of productive work, supervisors should feel less hesitant about releasing subordinates.

b. Management Intern Program

(1) Management Interns are selected from personnel currently working in any position within grades GS-1 through GS-7. Candidates may use this program to transfer to an administrative specialty, or to increase their effectiveness in any administrative area in which they are already working. The six-month training period should be entered on a full-time basis, and equals one year of experience for qualification purposes.

5. Nominating Procedure

a. Executive Trainee Program. Responsibility for nominating candidates will rest with the chain of command, on the level of Branch Head or higher. Step-by-step nominating procedure, presented in detailed form in enclosure (4) is briefly: (1) referral of applicant to Ad2c for testing; (2) candidate is given required tests; (3) test results, and probability of success of formal nomination are discussed with the applicant and his supervisor; (4) if the applicant's qualifications warrant, a formal nomination and training plan are prepared and submitted as described in enclosure (4); (5) BuOrd Executive Development Panel interviews the candidate and recommends approval or disapproval of his nomination; (6) on receipt of BuOrd Panel approval and recommendations, the Navy Executive Development Board (Departmental) makes the final selection. Applications for participation in the program will be received at any time, but will be processed quarterly according to the following dates:

<u>Deadlines for applications</u>	<u>Beginning of planned Work assignments</u>
16 February	20 April
16 May	20 July
16 August	20 October
16 November	20 January

b. Management Intern Program. This program is offered annually, beginning early in January. The deadline for nomination is approximately 6 November. Nominations follow the same procedure described for the Executive Trainee Program.

/s/ W. F. Schoeffel

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Enclosure (4)

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BUORD PROCEDURES FOR NOMINATION AND SELECTION

NAVY EXECUTIVE DEVELOPMENT PROGRAM

A. Informal Initial Steps:

Step 1: Referral of employee for preliminary written examination.

a. This referral may result from systematic inventory of personnel potential by Branch Heads or higher echelons, or, it may be the result of the initiative of an employee who desires an opportunity for development.

b. The supervisor reports the employee's name, grade, position title, organizational code, and his own name and phone number to the Recorder, BUORD Executive Development Panel (Ad2c).

c. When examination is scheduled by the Departmental Civilian Personnel Division (DCPD), of the Executive Office of the Secretary (EXOS), Ad2c notifies the supervisor of the time and place.

Step 2: Notification of Examination Results and Recommendations.

a. DCPD (EXOS) submits results of examination to the Recorder, BUORD Executive Development Panel (Ad2c).

b. Ad2c advises nominee's supervisor of test results and consults with him regarding probability of success of formal application and nomination, and nature of training program proposal, if any.

c. Supervisor informs nominee of test results and decision reached in (b) above.

B. Formal Presentations and Reviews:

Step 1: Employee applies by preparing a memorandum requesting nomination to the program.

a. Addressee: Recorder, Navy Executive Development Board (DCPD), via (1) employee's supervisor, (2) Branch Head, (3) Division Director or the executive officer in charge of budget and compliment, and (4) Recorder, BUORD Executive Development Panel (Ad2c).

b. Subject: Executive Development Program for (name of employee, his grade, BUORD code); proposal for

c. References: NACORDINST 12230.2 (citing appropriate paragraph) and (b) NAVORDINST 12230.4.

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Enclosure (4)

NAVORDINST 12230.4

d. Enclosures: (1) Proposed Executive Development Plan. (This plan should include, in chart form or otherwise: What is to be learned, where it is to be learned, how it is to be learned--if by work experience, research project, course of study, etc.--how long it will take, and to whom the employee will be responsible at the time. It should also show who is to be the employee's counselor or counselors during the program. Examples of programs are available in Ad2c as well as general assistance with respect to developing a program). (2) Standard 3CS Form 57, completed and up to date.

e. Content: Paragraph (1) should request consideration for executive development. Subsequent paragraphs should set forth the employee's Training Objective and Statement of Career Interests.

f. The memo and all endorsements should be forwarded with an original and one courtesy copy. Six copies of the memo and proposed employee development plan should be delivered to the Recorder (Ad2c).

Step 2: Endorsements and BuORD Review.

a. The employee's supervisor, and the other management representatives to whom the memorandum is routed within the Division, will each add their comments and recommendations by use of the standard Navy correspondence procedure.

b. The Recorder, Executive Development Panel (Ad2c) will:

(1) Review the memorandum, enclosures, and endorsements for compliance with procedure and informational adequacy for review by the Panel.

(2) Submit to the Chairman and each Panel member a copy of the memorandum requesting nomination and a copy of the DCPD (EXOS) examination report.

(3) Place consideration of the nomination on the agenda for the next panel meeting.

(4) Set up a folder on the nominee, filing the first carbon copy of the memorandum and all subsequent documents relating to the executive development program for that employee.

c. Action by BUORD Executive Development Panel:

(1) Reviews application and endorsements.

(2) Sets up membership of BUORD Interview Panel and date for meeting with employee.

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(Enclosure 4)

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(3) The Interview Panel assesses the nominee to determine adequacy of his proposed program, recommends revisions, and considers his acceptability for the Executive Development Program. The Panel is composed of personnel familiar with the areas covered by the proposed program.

(4) The BUORD Executive Development Panel, by endorsing the memorandum requesting nomination, recommends acceptance of the nominee by the Navy Executive Development Board, or recommends to the employee's Division that the nomination be withdrawn. An endorsement is prepared by the Recorder of the Executive Development Panel for signature of the Chairman, and the interview rating sheets of the Review Panel are attached as an enclosure to the endorsement if acceptance has been recommended.

Step 3: Departmental Action:

a. Action by Recorder of Board.

(1) Checks nomination papers for completeness and compliance with required procedure.

(2) Presents nominations to Departmental Panel.

b. Action by Panel.

(1) Reviews nomination and interviews applicant.

(2) Accepts, rejects, or recommends changes in proposed training program.

c. Action by Chairman of Board.

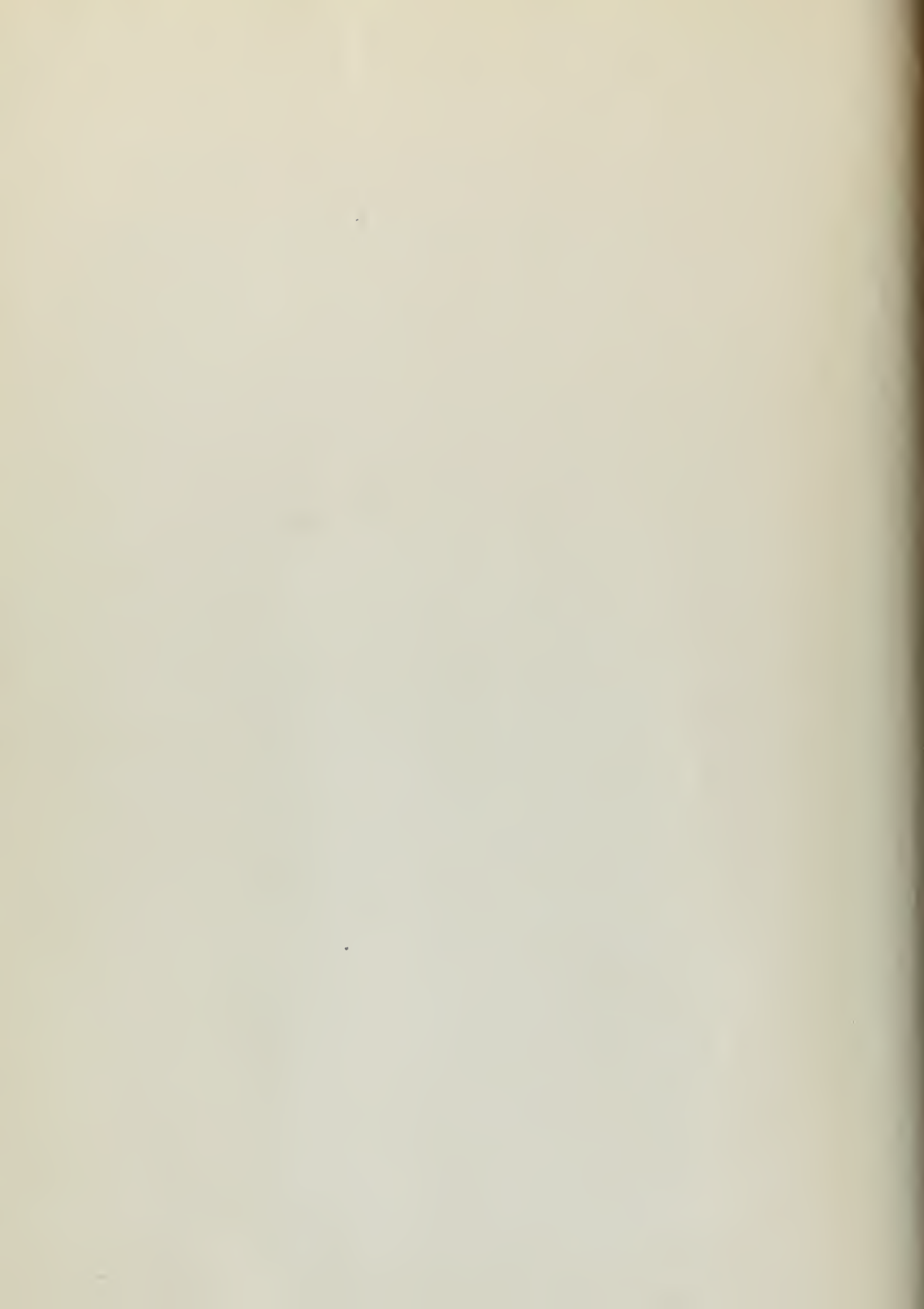
(1) By Navy letter informs Chairman, BuORD Executive Development Panel, Via Recorder (Ad2c) of acceptance or rejection of nominee and transmits to the Bureau forms NAVEXOS 3114 and 3108, Departmental and Navy Executive Development Agreements, respectively. The letter is prepared by the Recorder for the signature of the Chairman.

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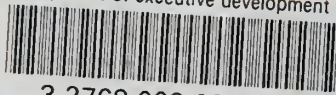
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